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FINANCIAL DISCLOSURE REPORTS OF HOUSE MEMBERS
JANUARY 1–DECEMBER 31, 2001
VOLUME 2

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FINANCIAL DISCLOSURE
REPORTS
OF MEMBERS OF THE U.S. HOUSE OF REPRESENTATIVES

FOR THE PERIOD BETWEEN

January 1, 2001 to December 31, 2001

COMMUNICATION FROM THE CLERK OF THE HOUSE

TRANSMITTING

THE ANNUAL COMPILATION OF PERSONAL FINANCIAL DISCLOSURE STATEMENTS AND AMENDMENTS THERETO FILED WITH THE CLERK OF THE HOUSE OF REPRESENTATIVES, PURSUANT TO RULE XXVII, CLAUSE 1, OF THE HOUSE RULES

(Volume 2 of 3)

JULY 22, 2002.—Referred to the Committee on Standards of Official Conduct and ordered to be printed

U.S. GOVERNMENT PRINTING OFFICE

80–863 WASHINGTON : 2002

LETTER OF SUBMITTAL

OFFICE OF THE CLERK,
HOUSE OF REPRESENTATIVES,
Washington, DC, July 24, 2002.

Hon. J. DENNIS HASTERT,
The Speaker, the Capitol,
House of Representatives, Washington, DC.

DEAR MR. SPEAKER: I hereby submit the annual compilation of personal financial disclosure statements filed with the Clerk of the House of Representatives pursuant to the Ethics in Government Act of 1978, as amended, 5 U.S.C. app. § 101–111 (1994), and the House Rule XXVII.

This compilation contains the personal financial disclosure statements and amendments thereto required to be filed by Members of the House pursuant to the Act and House Rule XXVII by May 15, 2002. The compilation includes reported financial transactions which occurred between January 1, 2001 and December 31, 2001.

House Rule XXVII provides that the annual compilation of reports filed with the Clerk be printed as a House document by August 1 and contain all such reports filed by Members within the period beginning January 1 and ending June 15 of each year. This compilation is submitted accordingly.

With best wishes, I am

Sincerely,

JEFF TRANDAHL,
Clerk, House of Representatives.

Enclosures.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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STENY H. HOYER
(Full Name)

1705 LONGWORTH HOB
WASHINGTON, D.C. 20515
(Mailing Address)

202-225-4131
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: District:	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/2002

(2233)

Name	STENY H. HOYER	Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria: list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF MARYLAND	Legislative Pension	$15,047.00

For payments to charity in lieu of honoraria, use Schedule II.

2234

Name STENY H. HOYER | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	X (A: $50,001 - $100,000)	X DIVIDENDS	X (V: $2,501 - $5,000)	P
DC	Simon & Schuster	Indefinite	Royalties		
JT	1st Bank of Pasture K/Accounts	X (F: $100,001 - $250,000)	X INTEREST	X (VI: $5,001 - $15,000)	
	Keogh - Legg Mason	X (G: $250,001 - $500,000)	X INTEREST	N/A	
	Cong. FCU	X (C: $15,001 - $50,000)	X INTEREST	X	
	Mun. Cash Mgmt	X (B: $1,001 - $15,000)	X INTEREST	X	
	Medical Advisory Syst. (stock)	X (C: $15,001 - $50,000)	X DIVIDENDS	X	

For additional assets and unearned income, use next page.

Name	STENY H. HOYER	Page 4 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Impac 2000	Aug 10-13	Wash,.DC-Monterey CA-Wash,DC	Y	Y	N	N

This page may be copied if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member	University Systems of Maryland Board of Regents
Member	St. Mary's College Board of Trustees
Member	Naval Academy Board of Visitors

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 5

For use by Members, officers, and employees

Kenny Charles Hulshof
(Full Name)

24 Bingham Rd Columbia, MO 65203
(Mailing Address)

573/874-1682
Daytime Telephone:

Filer Status

☑ Member of the U.S. House of Representatives — State: MO — District: 09

☐ Officer Or Employee — Employing Office:

Report Type

☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Kenny C. Hulshof	5/15/02

SCHEDULE I - EARNED INCOME

Name Kenny Charles Hulshof

Page 2 of 5

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Vangel Associates	Spouse Salary	N/A
Winning Strategies, Inc	Spouse-Consultant Fee	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kenny Charles Hulshof

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year
	Missouri State Employee Retirement	$1,001 - $15,000	DIVIDENDS	NONE	N/A
JT	Bank of America Accts, Columbia, MO	$1,001 - $15,000	INTEREST	$1 - $200	
JT	First National Bank Accts, Columbia, MO	$1,001 - $15,000	INTEREST	$1 - $200	
SP	American Century- Value	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	American Century - Global Growth	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	American Century - Growth	$1,001 - $15,000	DIVIDENDS	$1 - $200	

2240

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kenny Charles Hulshof

SP	American Growth - Ultra	$1,001 - $15,000	DIVIDENDS	NONE
SP	American Century - Life Sciences	$1,001 - $15,000	DIVIDENDS	$1 - $200

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Konny Charles Hulshof

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute	Mar 9 -11	Wash.D.C.-Greenbrier, W.Va.-Wash. D.C.	Y	Y	Y	No

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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DUNCAN LEE HUNTER
(Full Name)

328A Rayburn HOB
Washington, DC 20515
(Mailing Address)

Daytime Telephone
(202) 225-5672

Filer Status	[X] Member of the U.S. House of Representatives	State: CA District: 52	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ] No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $200 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X] No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Duncan Lee Hunter	5/14/2002

2243

Name DUNCAN LEE HUNTER | Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: None	A $1 – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	L	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	I $201 – $1,000	II $1,001 – $2,500	III $2,501 – $5,000	IV $5,001 – $15,000	V $15,001 – $50,000	VI $50,001 – $100,000	VII $100,001 – $1,000,000	VIII $1,000,001 – $5,000,000	IX Over $5,000,000	X	XI	Block E: P, S, E
SP	Mega Corp. Stock	SP					X									X										X									P
DC	Simon & Schuster				Indefinite																	Royalties									X				
JT	1st Bank of Paducah, KY accounts							X										X									X								
	23.5 Acres, Warren Cty, VA					X										X										X									
	Cabin #2, Warren Cty, VA						X									X										X									
JT	5/8 Acre Lot, Riverside, CA					X											NONE						X												
JT	House on Lot, Riverside, CA							X									NONE						X												
JT	1/4 Acre Lot, Bear Lake, Utah				X												NONE						X												
JT	Congressional Fed Credit Union					X											NONE						X												

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name DUNCAN LEE HUNTER

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	House, Walney Rd, Chantilly, VA		X		3/1/01					X					
JT	STABLE/BARN, Chantilly, VA		X		3/1/01				X						
JT	Constructed House on 5/8 Acre Riverside, CA Lot	X			12/28/01				X						
	1.5 Acres, Warren Cty, VA		X		5/30/01		X								

This page may be copied if more space is required.

2245

Name DUNCAN LEE HUNTER | Page 4 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Bank of America, Credit Card	Revolving Credit		X								
JT	Valley de Oro Bank, El Cajon, CA	Personal Loan	X									
JT	Congressional Federal Credit Union, Wash,DC	Personal Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name	DUNCAN LEE HUNTER	Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	American Conservative Union
Partner	Cabin #2 with Pete Geren in Blue Ridge Mtns, Warren County, VA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2012 77-791 (PMC)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 3:45
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Henry J Hyde
(Full Name)

2110 Rayburn House Office Building
(Mailing Address)

202-225-4561
Daytime Telephone

Washington, D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives	State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Henry J. Hyde	5-15-2002

2248

Name	Henry J Hyde	Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Illinois General Assembly Retirement	Legislative pension	$7065.84

For payments to charity in lieu of honoraria, use Schedule II.

Name Henry J Hyde

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source		Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify. For Example, Partnership Income or Farm Income))	Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Transaction (P, S, E)
SP	Mega Corp. Stock		E	DIVIDENDS: X	IV: X	P
DC, JT (Examples)	Simon & Schuster		Indefinite	Other Type of Income: Royalties	IV: X	
JT	1st Bank of Paducah, KY accounts		F	INTEREST: X	VI: X	
	Congressional Federal Credit Union, Washington, D.C.		E	INTEREST: X	IV: X	
	White House Federal Credit Union, Washington, D.C.		D	INTEREST: X	II: NA/ IRA	

For additional assets and unearned income, use next page.

Name	Henry J Hyde	Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NBC News, Washington, D.C.	9-29/30	Chicago/ Washington/ Chicago	N	N	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:19
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(7)
(Office Use Only)

JAY ROBERT INSLEE
(Full Name)
1197 HAWLEY WAY NE 202-225-6311
(Mailing Address) Daytime Telephone
BAINBRIDGE WA 98110 2

Filer Status	☑ Member of the U.S. House of Representatives — State: WA District: 7	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Terminal on Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	[signature]	May 15, 2002

2252

Name	Page
Jay R. Inske	2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Dr Steven Schwager	Spouse-Salary	7213

For payments to charity in lieu of honoraria, use Schedule II.

Name JAY R. INSLEE | Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of income

BLOCK D — Amount of income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "N/A" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1–$1,000; C $1,001–$15,000; D $15,001–$50,000; E $50,001–$100,000; F $100,001–$250,000; G $250,001–$500,000; H $500,001–$1,000,000; I $1,000,001–$5,000,000; J $5,000,001–$25,000,000; K $25,000,001–$50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1–$200; III $201–$1,000; IV $1,001–$2,500; V $2,501–$5,000; VI $5,001–$15,000; VII $15,001–$50,000; VIII $50,001–$100,000; IX $100,001–$1,000,000; X $1,000,001–$5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock	Indefinite	X	X	P
	SP 1st Bank of Paducah, KY accounts	X	X	X	
	Simon & Schuster			X	
	Royalties			X	
JT	Congressional Federal Credit Union	X	X	X	
SP	SALOMON SMITH BARNEY - SIMPLE IRA	X	X	X	
	CITIBANK	X	X	X	
	AOL TIME WARNER	X	X	X	
	AVAYA INC	X			
	BRISTOL MYERS	X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JAY R. INSLEE

Page 4 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	CISCO SYS IN	D			
	CITIGROUP	D	DIVIDENDS	III	
	EMC CORP	C			
	GENERAL ELEC	D	DIVIDENDS	III	
	INTEL	D	DIVIDENDS	III	
	LUCENT TECHNOLGIES	C	DIVIDENDS	III	
	MEDTRONIC INC	C	DIVIDENDS	III	
	MICROSOFT	D			
	PFIZER INC	C			
	REALNETWORKS	C			
	STARBUCKS	D			
	TEXAS INSTRUMENTS	D	DIVIDENDS	III	

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SCHEDULE IV — TRANSACTIONS

Name Jay R Insloe | Page 5 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Oracle stock		X		5-25-01	X									
	IBM stock		X		5-25-01	X									

This page may be copied if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Alaska Wilderness League and The Sierra Club	June 30 - July 8	WA, D.C. - Fairbanks AK - Seattle WA	Y	Y	N	4 days
	Yellowstone to Yukon Conservation Initiative	Sept 8 - 9	Seattle WA - Calispell, MT - Seattle WA	Y	Y	N	N

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Name	Page 7 of 7
JAY R. INSLEE	

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Honorary Bd. Member	Washington Wildlife & Recreation Coalition

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 8:37
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

15

MC

JOHN HARRY ISAKSON
(Full Name)

5074 HAMPTON FARMS DR
MARIETTA, GA 30068
(Mailing Address)

Daytime Telephone: 202-225-4501

Filer Status: [X] Member of the U.S. House of Representatives — State: GA District: 6 — [ ] Officer or Employee — Employing Office:

Report Type: [ ] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X] No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X] No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

2259

Name JOHNNY ISAKSON	Page 1 of 14

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	FRAMEWORKS GALLERY	SPOUSE SALE OF ART	1,250
	FAIRGREEN CAPITAL (DISCLOSED AGREEMENT BETWEEN FAIRGREEN CAPITAL AND JOHNNY ISAKSON IN SCHEDULE IV)	DEFERRED COMPENSATION AGREEMENT	80,000

For payments to charity in lieu of honoraria, use Schedule II.

2260

Name JOHANNA ISAKSON | Page 2 of 4

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE			

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Name JOHNNY ISAIGSON | Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp Stock	X	X		IV	P
	Simon & Schuster	Indefinite				
JT	1st Bank of Paducah, KY accounts	X	X		VI	
	STRICKLIN CAPITAL	X	X X		VIII	
	5074 HAMPTON FARMS DRIVE	X			I	
	FIDELITY PURITAN MUTUAL FUND		X	X	III	
	FIDELITY ADVISORS MUTUAL FUND		X	X	IV	
	TEMPLETON GROWTH MUTUAL FUND		X	X	IV	
	EVERGREEN GROWTH MUTUAL FUND		X	X	IV	

For additional assets and unearned income, use next page.

2262

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 4 of 14

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	MCI CAPITAL I PREFERRED		DIVIDENDS	IV	
	ALABAMA POWER		DIVIDENDS	IV	
	FORD MOTOR CREDIT NOTE		INTEREST	IV	
	AMERICAN EXPRESS STOCK	F	DIVIDENDS	IV	
	CISCO SYSTEM STOCK	C	DIVIDENDS	II	
	WALT DISNEY STOCK	D	DIVIDENDS	IV	
	EMC CORP MASS	C	DIVIDENDS	II	
	FEDERAL HOME LOAN MORTGAGE CORP	D	DIVIDENDS	III	
	GANNETT INC STOCK	G	DIVIDENDS	IV	
	GENERAL ELECTRIC STOCK	D	DIVIDENDS	III	
	INTERPUBLIC GROUP STOCK	D	DIVIDENDS	III	
	MICROSOFT STOCK	G	DIVIDENDS	II	
	OMNICOM GROUP STOCK	C	DIVIDENDS	III	
	PMI GROUP STOCK	C	DIVIDENDS	II	
	WORLDCOM INC STOCK	C	DIVIDENDS	II	
	ALCOA INC STOCK	C	DIVIDENDS	III	
	BT SERVICES STOCK	C	DIVIDENDS	II	
	CITIGROUP STOCK	G	DIVIDENDS	IV	
	GILLETTE CO STOCK	D	DIVIDENDS	III	
	HOME DEPOT STOCK	G	DIVIDENDS	III	
	ORACLE CORP STOCK	C	DIVIDENDS	II	
	SCHLUMBERGER LTD STOCK	C	DIVIDENDS	III	

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2263

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	ABBOTT LABS STOCK	X															X				X											P
	BURLINGTON STOCK	X															X				X											S
	CHUBB CORP STOCK	X															X															S
	COLGATE PALMOLIVE STOCK	X												X			X					X		X								S
	JOHNSON & JOHNSON STOCK	X												X			X								X							S
	SUN MICROSYSTEMS STOCK	X															X															S
	SYSCO CORP STOCK	X															X				X											S
	TEXACO STOCK	X															X				X											S
	AVAYA STOCK	X															X															S
	LUCENT STOCK	X															X															S
	GLOBAL CROSSING STOCK	X															X				X											S
	CHASE MANHATTAN CORP STOCK	X												ACQUIRED BY JP MORGAN IN EXCHANGE FOR STOCK																		S
	FEDERAL NATIONAL MORTGAGE ASSOC STOCK	X																									X					S
	JONES APPAREL GROUP STOCK			X										X			X										X					P/S
	QWEST COMMUNICATIONS STOCK	X															X											X				S
	RADIOSHACK STOCK	X															X				X											S
	STAPLES STOCK	X															X										X					S
	WINSTAR COMMUNICATIONS STOCK	X															X				X											S
	AT&T CORP STOCK				X									X								X										P
	APPLIED MATERIALS STOCK	X												X			X								X							P/S
	COSTCO WHOLESALE CORP STOCK				X									X							X											P
	DUKE ENERGY STOCK			X										X								X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 6 of 4

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	SOUTHWEST AIRLINES STOCK				X									X								X										
	SUNTRUST BANKS STOCK				X									X																		
	ALLSTATE STOCK			X										X									X									
	SUNTRUST TAXFREE BONDS								X							X											X					
	AMERICAN INTERNATIONAL GROUP STOCK					X								X									X									
	AMGEN STOCK					X								X							X											
	BANKAMERICA STOCK					X								X												X						
	BIOMET INC STOCK				X									X									X									
	COCA COLA STOCK				X									X										X								
	MERCK STOCK					X								X										X								
	POST PROPERTIES STOCK				X									X																		
	SOUTHTRUST CORP STOCK								X					X												X	X					
	STARBUCKS CORP STOCK				X									X							X											
	TYCO INT'L LTD STOCK						X							X								X										
	FIRST STERLING BANK STOCK NEW MAIN STREET BANKS								X					X													X					
	RIVERSIDE BANK STOCK							X						X							X											
	WACHOVIA BANK CD				X									X										X								
	SOUTHTRUST BANK CD						X									X										X						
	RIVERSIDE BANK CD						X									X										X						
	SUNTRUST BANK CD						X									X										X						
	MASS MUTUAL CASH VALUE						X							X		X									X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAACSON

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	MONY CASH VALUE	D	DIVIDENDS	V	
	INDIANAPOLIS LIFE CASH VALUE	D	INTEREST	IV	
	LINCOLN LIFE CASH VALUE	D	DIVIDENDS	V	
	STRICO TIDE L.P. OIL & GAS	D	CAPITAL GAINS; ROYALTY	V	
	STRICO BRITIAN L.P. OIL & GAS	D	CAPITAL GAINS; "	V	
	KMI L.P. OIL & GAS	D	CAPITAL GAINS; "	VI	
	STRICO CHEETAH L.P. OIL & GAS	D	CAPITAL GAINS; "	VI	
	STRICO BOBCAT L.P. OIL & GAS	D	CAPITAL GAINS; "	I	
	1/2 IN INTEREST 54 ACRES DOUGLAS COUNTY	E	CAPITAL GAINS	I	
	SEE ATTACHED TIMESHARE HILTON HEAD S.C.	D	CAPITAL GAINS	I	
	500 ACRES CHEROKEE COUNTY	F	CAPITAL GAINS		
	103.2 ACRES HAVEN RD RABUN COUNTY	F	CAPITAL GAINS	I	
	807 UNIVERSITY TOWERS	D	DIVIDENDS	V	
	4 ACRES HWY 140 50% CHEROKEE COUNTY	F	CAPITAL GAINS	IX	PARTIAL S
	SMITH BARNEY DEVELOPMENT FUND	D	DIVIDENDS; CAPITAL GAINS	V	
	PERMIT LLC	F	CAPITAL GAINS	VI	
	WINTERCREEK LLC	F	RENT; CAPITAL GAINS	VII	P
	AIM STIC PRIME PORTFOLIO	D	INTEREST; CAPITAL GAINS	V	
	4215 LLC 8 CONDO'S ATHENS GA	F	RENT	VII	
	STI CLASSIC FUNDS	D	CAPITAL GAINS	I	
	THRIFT SAVINGS PLAN	D	DIVIDENDS; INTEREST; CAPITAL GAINS	V	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 8 of 14

SP. DC J	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	EOG RESOURCES INC STOCK	C	DIVIDENDS	II	P
	GAP INC STOCK	C	DIVIDENDS	II	P
	SCHERING PLOUGH CORP STOCK	E	DIVIDENDS	III	P
	VERIZON COMMUNICATIONS STOCK	C	DIVIDENDS	II	P
	WALMART STORES INC	C	DIVIDENDS	II	P
	WASTE MANAGEMENT STOCK	C	DIVIDENDS	II	P
	12 ACRES 4820 BRANSON MILL RD RABUN COUNTY	I	CAPITAL GAINS	I	P
	1.33 ACRES 4820 BRANSON MILL RD. RABUN COUNTY	A			P
	J.P. MORGAN STOCK	F	DIVIDENDS; STOCK RECEIVED IN EXCHANGE FOR CHASE MANHATTEN STK	IV	P

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SCHEDULE IV — TRANSACTIONS

Name JOHNNY ISAKSON

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	EOG RESOURCES INC STOCK	X			12-19-01	X									
	GAP INC STOCK	X			2-05-01	X									
	SCHERING PLOUGH STOCK	X			11-26-01 12-13-01		X								
	VERIZON COMMUNICATIONS STOCK	X			12-13-01	X									
	WALLMART STORES INC STOCK	X			2-05-01	X									
	WASTE MANAGEMENT STOCK	X			5-15-01 5-16-01	X									
	12 ACRES 4820 BRANDON MILL RD RABUN COUNTY	X			9-1-01 11-28-01							X			
	1.33 ACRES 4820 BRANDON MILL RD RABUN COUNTY		X		11-28-01						X				
	DUKE ENERGY STOCK	X			11-28-01 12-18-01	X									
	COSTCO WHOLESALE CORP STOCK	X			2-05-01		X								
	APPLIED MATERIALS STOCK	X			5-16-01	X									
	APPLIED MATERIALS STOCK	X			10-18-01 12-13-01	X									
	AT&T CORP STOCK	X			7-13-01		X								
	WINSTAR COMMUNICATIONS	X			1-31-01 11-13-00	X									
	STAPLES STOCK		X		5-23-01 9-04-01			X							
	RADIOSHACK STOCK	X			3-15-01		X								

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SCHEDULE IV — TRANSACTIONS

Name JOHNNY ISAKSON | Page 10 of 14

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	QWEST COMMUNICATIONS STOCK		X		7-13-01 6-20-01				X						
	JONES APPAREL GROUP STOCK	X			3-14-01			X							
	EXXON MOBILE STOCK	X			2-6-01		X								
	OFFICE DEPOT STOCK	X			2-5-01		X								
	OFFICE DEPOT STOCK		X		10-11-01	X									
	AT&T STOCK	X			7-13-01	X									
	RADIOSHACK STOCK		X		8-07-01		X								
	AOL TIME WARNER	X			9-25-01	X									
	BRINKER INT'L STOCK	X			10-03-01		X								
	EXPRESS SCRIPTS STOCK	X			8-30-01			X							
	HEWLETT PACKARD STOCK	X			10-04-01	X									
	McDONALDS STOCK	X			9-25-01		X								
	PATTERSON DENTAL STOCK	X			7-03-01		X	X							
	WELL POINT HEALTH STOCK	X			9-21-01			X							
	ABBOTT LABS STOCK		X		2-5-01	X									
	BURLINGTON STOCK		X		2-5-01	X									

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SCHEDULE IV — TRANSACTIONS

Name JOHNNY ISAKSON

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	SYSCO CORP STOCK		X		2-16-01	X									
	TEXACO STOCK		X		2-5-01	X									
	SUN MICROSYSTEMS STOCK		X		6-4-01	X									
	JOHNSON & JOHNSON STOCK		X		6-14-01	X									
	GLOBAL CROSSING STOCK		X		10-17-01	X									
	AVAYA INC STOCK		X		2-5-01	X									
	COLGATE PALMOLIVE STOCK		X		2-5-01		X								
	LUCENT STOCK		X		2-5-01	X									
	WINSTAR COMMUNICATIONS STOCK		X		4-17-01	X									
	CHUBB STOCK		X		11-15-01	X									
	J P MORGAN STOCK ACQUIRED IN EXCHANGE FOR CHASE MANHATTAN STOCK			X	12-31-01			X							
	JONES APPAREL GROUP STOCK		X		2-14-01			X							
	50% INTEREST 4 ACRES HWY 176 CHEROKEE COUNTY		X		7-26-01				X						

This page may be copied if more space is required.

Name JOHNNY ISAKSON | Page 12 of 14

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	WACHOVIA BANK	MORTGAGE 5074 HAMPTON FARM DR		X								
	CHASE MORTGAGE FORMALY SYNOVUS MORTGAGE	"			X							
	ROBINSON HUMPHREY	MARGIN ACCOUNT			X							
	RIVERSIDE BANK					X						
	WILLIAM H & GAYDEAN DAVISON	MORTGAGE ON 4820 BRANDON MILL RD						X				

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE	

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
			NONE				

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
TRUSTEE	KENNESAW STATE UNIVERSITY
BOARD CHAIRMAN	GEORGIAN CLUB
BOARD	FAIRHAVEN CAPITAL
TRUSTEE	REINHARDT COLLEGE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
12-18-98	FAIRHAVEN CAPITAL AND JOHNNY ISAKSON	PAYMENT FOR PERFORMANCE BONUS OVER TIME
12-31-98	"	MAINTAIN MEDICAL INSURANCE
11-16-95	STATE OF GEORGIA HEALTH BENEFIT PLAN AND JOHNNY ISAKSON	UPON RETIREMENT AFTER 8 YRS MEMBER OF GENERAL ASSEMBLY MAY CONTINUE INSURANCE

Use additional sheets if more space is required.

HAND DELIVERED

JOHNNY ISAKSON
6TH DISTRICT, GEORGIA

EDUCATION AND THE WORKFORCE
WORKFORCE PROTECTIONS
21ST CENTURY COMPETITIVENESS

TRANSPORTATION AND INFRASTRUCTURE
AVIATION
HIGHWAY AND TRANSIT

Congress of the United States
House of Representatives
Washington, DC 20515–1006

WASHINGTON OFFICE:
132 CANNON BUILDING
WASHINGTON, DC 20515–1006
(202) 225–4501
FAX: (202) 225–4656

DISTRICT OFFICE:
6000 LAKE FORREST DRIVE
SUITE 110
ATLANTA, GA 30328
(404) 252–5239
FAX: (404) 303–1260

http://www.house.gov/isakson

LEGISLATIVE RESOURCE CENTER
2002 JUN -4 AM 9:39
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(1)

MC

June 3, 2002

The Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington D. C. 2-515

Dear Sir,

I am writing to notify your office of three additions or clarifications to my Financial Disclosure Statement file in your office on May 15, 2002.

On Schedule IV, page 10 of the report I reported the purchase of six stocks (Brinker International, Express Scripts, McDonalds, Patterson Dental, Wellpoint Health and Exxon) but did not include them on Schedule III. That addition has been made and is attached on Schedule III page 8.

On Schedule IV, page 10 I have attached the corrected transaction on the value of the purchase of Patterson Dental.

On Schedule V, page12 I have added "Line of Credit" for the Type of Liability for the debt to Riverside Bank.

I would appreciate your adding these corrections to my file.

Sincerely,

Johnny Isakson

Cc: Bernadette C. Sargeant

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, Officers, and Employees

LEGISLATIVE RESOURCE CENTER 2002 JUN -4 AM 9:40

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER 2002 MAY 15 AM 8:37

RECEIVED

OFFICE OF THE CLERK U.S. HOUSE OF REPRESENTATIVES

2002 MAY 15 AM 11:33

OFFICE OF THE CLERK U.S. HOUSE OF REPRESENTATIVES (Office Use Only)

JOHN HARRY ISAKSON (Full Name)

5074 Hampton Farms Dr (Mailing Address)

Marietta, GA 30068

COMMITTEE ON STANDARDS 202-225-4501

Filer Status	[X] Member of the U.S. House of Representatives	State: GA District: 6	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

2275

Name	Page
JOHNNY ISAKSON	1 of 14

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	FRAMEWORKS GALLERY	SPOUSE SALE OF ART	1,250
	FAIRGREEN CAPITAL (DISCLOSED AGREEMENT BETWEEN FAIRGREEN CAPITAL AND JOHNNY ISAKSON IN SCHEDULE IX)	DEFERRED COMPENSATION AGREEMENT	80,000

ments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE			

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2277

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOHNNY ISAIGSON

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — Examples: SP	Mega Corp. Stock	F X	DIVIDENDS X	IV X	P
DC	Simon & Schuster	Indefinite	Royalties	VIII X	
JT	1st Bank of Paducah, KY accounts	F X	INTEREST X	VI X	
	STRICKLIN CAPITAL	G X	RENT X; INTEREST X; CAPITAL GAINS X	VIII X	S
	5074 HAMPTON FARMS DRIVE	G X		I X	
	FIDELITY PURITAN MUTUAL FUND	D X	DIVIDENDS X; INTEREST X	III X	
	FIDELITY ADVISORS MUTUAL FUND	D X	DIVIDENDS X; INTEREST X	IV X	
	TEMPLETON GROWTH MUTUAL FUND	D X	DIVIDENDS X; INTEREST X	IV X	
	EVERGREEN GROWTH MUTUAL FUND	D X	DIVIDENDS X; INTEREST X	IV X	

For additional assets and unearned income, use next page.

2278

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 4 of 14

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	MCI CAPITAL I PREFERRED				X									X																		
	ALABAMA POWER				X									X										X								
	FORD MOTOR CREDIT NOTE				X											X								X								
	AMERICAN EXPRESS STOCK					X								X										X								
	CISCO SYSTEM STOCK			X										X							X											
	WALT DISNEY STOCK				X									X										X								
	BANK CORP MASS STOCK			X										X							X											
	FEDERAL HOME LOAN MORTGAGE CORP				X									X									X									
	GANNETT INC STOCK						X							X										X								
	GENERAL ELECTRIC STOCK				X									X									X									
	INTERPUBLIC GROUP STOCK				X									X									X									
	MICROSOFT STOCK						X							X							X											
	OMNICOM GROUP STOCK			X										X								X										
	PMI GROUP STOCK			X										X							X											
	WORLDCOM INC STOCK			X										X							X											
	ALCOA INC STOCK			X										X								X										
	BT SERVICES STOCK			X										X							X											
	CITIGROUP STOCK						X							X										X								
	GILLETTE CO STOCK				X									X									X									
	HOME DEPOT STOCK						X							X									X									
	ORACLE CORP STOCK			X										X							X											
	SCHLUMBERGER LTD STOCK			X										X								X										

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NO. 1407

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 5 of 14

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	ABBOTT LABS STOCK	X															X				X											S
	BURLINGTON STOCK	X															X				X											S
	CHUBB CORP STOCK	X															X							X								S
	COLGATE PALMOLIVE STOCK	X												X			X					X										P
	JOHNSON & JOHNSON STOCK	X												X			X								X							S
	SUN MICROSYSTEMS STOCK	X															X				X											S
	SYSCO CORP STOCK	X															X				X											S
	TEXACO STOCK	X															X				X											S
	AVAYA STOCK	X															X						X									S
	LUCENT STOCK	X															X															S
	GUIDANT CORPORATION STOCK	X															X				X											S
	CHASE MANHATTAN CORP STOCK	X												ARCHER MATERIALS PAT S.P. & EXCHANGE FOR STOCK																		E
	FEDERAL NATIONAL MORTGAGE ASSOC STOCK	X															X															S
	JONES APPAREL GROUP STOCK	X			X									X			X										X					P/S
	QWEST COMMUNICATIONS STOCK	X															X										X					S
	RADIO SHACK STOCK	X															X				X											S
	STAPLES STOCK	X															X										X					S
	WINSTAR COMMUNICATIONS STOCK	X															X				X											P
	AT&T CORP STOCK	X			X									X			X						X									P
	APPLIED MATERIALS STOCK	X												X			X								X							P/S
	COSTCO WHOLESALE CORP STOCK				X									X			X				X											P
	DUKE ENERGY STOCK			X										X			X						X									P

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2280

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 6 of 14

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	SOUTHWEST AIRLINES STOCK				X									X								X										
	SUNTRUST BANKS STOCK				X									X									X									
	ALLSTATE STOCK			X										X									X									
	SUNTRUST TAX FREE BONDS								X							X											X					
	AMERICAN INTERNATIONAL GROUP STOCK					X								X									X									
	AMGEN STOCK					X								X							X											
	BANKAMERICA STOCK					X								X												X						
	BIOMET INC STOCK				X									X									X									
	COCA COLA STOCK				X									X										X								
	MERCK STOCK					X								X										X								
	PFIZER PHARMACEUTICAL STOCK				X									X												X						
	SOUTHTRUST CORP STOCK								X					X													X					
	STARBUCKS CORP STOCK				X									X							X											
	TYCO INTL LTD STOCK						X							X								X										
	FIRST STERLING BANK STOCK - NOW MAIN STREET BANKS								X					X													X					
	RIVERSIDE BANK STOCK							X						X							X											
	WACHOVIA BANK CD				X									X										X								
	SOUTHTRUST BANK CD						X									X										X						
	RIVERSIDE BANK CD						X									X										X						
	SUNTRUST BANK CD						X									X										X						
	MASS MUTUAL CASH VALUE						X							X		X									X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 2 of 4

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	MONY CASH VALUE				X									X		X									X							
	INDIANAPOLIS LIFE CASH VALUE				X									X		X								X								
	LINCOLN LIFE CASH VALUE				X									X		X									X							
	STRICKLING L.P. OIL & GAS				X											X				ROYALTY					X							
	STRICKLAND L.P. OIL & GAS				X											X				"					X							
	KMI L.P. OIL & GAS				X											X				"						X						
	STRICKLANDSTAR L.P. OIL & GAS				X											X				"						X						
	STRICKLAND TOTAL L.P. OIL & GAS				X											X				"												
	1/4TH INTEREST 54 ACRES DOUGLAS COUNTY					X															X											
	54 PINES TIMESHARE HILTON HEAD S.C.				X											X					X											
	5091 ACRES CHEROKEE COUNTY						X									X																
	103.2 ACRES HAVEN RD RABUN COUNTY							X								X					X											
	807 UNIVERSITY TOWERS				X									X											X							
	4 ACRES HWY 140 50% CHEROKEE COUNTY							X																					X			HERITAGE S
	SMITH BARNEY BRANCH RETIREMENT FUND				X									X											X							
	PERMIT LLC						X								X	X										X						
	WINTERCREEK LLC						X								X	X											X					P
	RIM STIC PRIME PORTFOLIO				X											X									X							
	4 IJS LLC & CONDO ATHENS GA						X							X													X					
	STI CLASSIC FUNDS				X												X				X											
	THRIFT SAVINGS PLAN				X									X		X	X								X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHNNY ISAKSON

Page 8 of 14

SP. DC. :T	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	EOG RESOURCES INC STOCK			X										X								X										P
	GAP INC STOCK			X										X								X										P
	SCHERING PLOUGH CORP STOCK				X									X									X									P
	VERIZON COMMUNICATIONS STOCK			X										X								X										P
	WALL MART STORES INC			X										X								X										P
	WASTE MANAGEMENT STOCK			X										X								X										P
	10 ACRES 4 BED BRANSON TRACT RD. BRANN COUNTY									X							X				X										P
	1.35 ACRES 4 BED BRANSON TRACT MB. BRANN COUNTY	X															X											X			S
	J.P. MORGAN STOCK					X								X	STOCK RECEIVED IN EXCHANGE FOR CHASE MANHATTEN STK								X									E
	EXXON stock				X									X									X									P
	Brinker Int'l stock				X									X								X										P
	Express Scripts stock					X								X									X									P
	McDonalds stock				X									X									X									P
	Patterson Dental Stock					X								X									X									P
	Wellpoint Health Stock					X								X									X									P

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SCHEDULE IV — TRANSACTIONS

Name JOHNNY ISAKSON | Page 9 of 14

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	EOG RESOURCES INC STOCK	X			12-19-01	X									
	GAP INC STOCK	X			2-05-01	X									
	SCHERING PLOUGH STOCK	X			11-26-01 12-13-01		X								
	VERIZON COMMUNICATIONS STOCK	X			12-13-01	X									
	WALLMART STORES INC STOCK	X			2-05-01	X									
	WASTE MANAGEMENT STOCK	X			5-15-01 5-16-01	X									
	12 ACRES VPLO BRANDON MILL RD RABUN COUNTY	X			9-1-01 11-28-01							X			
	1.33 ACRES VPLO BRANDON MILL RD RABUN COUNTY		X		11-28-01						X				
	DUKE ENERGY STOCK	X			11-28-01 12-13-01	X									
	COSTCO WHOLESALE CORP STOCK	X			2-05-01		X								
	APPLIED MATERIALS STOCK	X			5-16-01	X									
	APPLIED MATERIALS STOCK	X			10-18-01 12-13-01	X									
	AT&T CORP STOCK	X			7-13-01		X								
	WINSTAR COMMUNICATIONS	X			1-31-01 12-13-00	X									
	STAPLES STOCK		X		5-23-01 5-04-01			X							
	RADIOSHACK STOCK	X			3-15-01		X								

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SCHEDULE IV — TRANSACTIONS

Name JOHNNY ISAKSON

Page 10 of 14

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	QWEST COMMUNICATIONS STOCK		X		7-13-01 6-20-01				X						
	JONES APPAREL GROUP STOCK	X			3-14-01			X							
	EXXON MOBILE STOCK	X			2-6-01		X								
	OFFICE DEPOT STOCK	X			2-5-01		X								
	OFFICE DEPOT STOCK		X		10-11-01	X									
	AT&T STOCK	X			7-13-01	X									
	RADIOSHACK STOCK		X		8-07-01		X								
	AOL TIME WARNER	X			6-25-01	X									
	BRINKER INT'L STOCK	X			10-03-01		X								
	EXPRESS SCRIPTS STOCK	X			8-30-01			X							
	HEWLETT PACKARD STOCK	X			10-04-01	X									
	MCDONALDS STOCK	X			9-24-01		X								
	PATTERSON DENTAL STOCK	X			7-03-01		[illegible]	X							
	WELL POINT HEALTH STOCK	X			9-21-01			X							
	ABBOTT LABS STOCK		X		2-5-01	X									
	BURLINGTON STOCK		X		2-5-01	X									

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SCHEDULE IV — TRANSACTIONS

Name JOHNNY ISAKSON | Page 11 of 14

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	SYSCO CORP STOCK		X		2-16-01	X									
	TEXACO STOCK		X		2-5-01	X									
	SUN MICROSYSTEMS STOCK		X		6-4-01	X									
	JOHNSON & JOHNSON STOCK		X		6-14-01	X									
	GLOBAL CROSSING STOCK		X		10-17-01	X									
	AVAYA INC STOCK		X		2-5-01	X									
	COLGATE PALMOLIVE STOCK		X		2-5-01		X								
	LUCENT STOCK		X		2-5-01	X									
	WINSTAR COMMUNICATIONS STOCK		X		4-17-01	X									
	CHUBB STOCK		X		11-15-01	X									
	JP MORGAN STOCK ACQUIRED IN EXCHANGE FOR CHASE MANHATTAN STOCK			X	12-31-01			X							
	JONES APPAREL GROUP STOCK		X		3-14-01			X							
	50% INTEREST 4 ACRES HWY 176 CHEROKEE COUNTY		X		7-26-01				X						

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Name JOHNNY ISAKSON | Page 14 of 14

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	WACHOVIA BANK	MORTGAGE 5074 HOOCTUN FARMS AL		X								
	CHASE MORTGAGE FORMALY SYNOVUS MORTGAGE	"			X							
	ROBINSON HUMPHREY	MARGIN ACCOUNT			X							
	RIVERSIDE BANK	LINE OF CREDIT UNSECURED				X						
	WILLIAM H & GAY DEAN DAVISON	MORTGAGE ON 4820 BRANDON MILL RD						X				

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE	

Use additional sheets if more space is required.

2287

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

NONE

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2288

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
TRUSTEE	KENNESAW STATE UNIVERSITY
BOARD CHAIRMAN	GEORGIAN CLUB
BOARD	FAIRGREEN CAPITAL
TRUSTEE	REINHARDT COLLEGE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
12-18-98	FAIRGREEN CAPITAL AND JOHNNY ISAKSON	PAYMENT FOR PERFORMANCE BONUS OVER TIME
12-31-98	"	MAINTAIN MEDICAL INSURANCE
11-16-95	STATE OF GEORGIA HEALTH BENEFIT PLAN AND JOHNNY ISAKSON	UPON RETIREMENT AFTER 5 YRS MEMBER OF GENERAL ASSEMBLY MAY CONTINUE INSURANCE

GAO 202 (17-75) (96)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12:31 (6)
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

STEVE J. ISRAEL
(Full Name)

239 SENECA AVE — DIX HILLS NY 11746 — (202) 225-3335
(Mailing Address) — Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: NEW YORK District: 2	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [X]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	X	5/10/02

2290

Name	Page
STEVE J. ISRAEL	2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
TOWN OF HUNTINGTON, HUNTINGTON NY	SALARY EARNED UNTIL 12/31/00 PAYABLE JAN '01	7,288
EAST WILLISTON UFSD OLD WESTBURY NY	SPOUSE SALARY	75,000

For payments to charity in lieu of honoraria, use Schedule II.

Name STEVE T ISRAEL | Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp Stock		X		X		P
DC	Simon & Schuster	Indefinite			X		Royalties		X		
JT	1st Bank of Paducah KY accounts	X	X		X		
	WALT DISNEY CORP.	X	X		X		
	MERILL LYNCH IRA	X	X		X		
	NY STATE RETIREMENT		N/A →		N/A →		

For additional assets and unearned income, use next page.

2292

Name STEVE J ISRAEL | Page 4 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$275
NONE		

Use additional sheets if more space is required.

Name	STEVE J. ISRAEL	Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
AMERICAN ISRAEL PUBLIC AFFAIRS	COMMITTEE	MAY 6, 2001	NEW YORK - BOSTON - NEW YORK	N	N	N	N
AMERICAN ISRAEL PUBLIC AFFAIRS	COMMITTEE	AUG 18-19 2001	NEW YORK - DALLAS - NEW YORK	Y	Y	Y	N

This page may be copied if more space is required.

Name STEVE J. ISRAEL	Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NONE	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
NONE		

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN -6 PM 1:26
(Office Use Only)
CLERK
U.S. HOUSE OF REPRESENTATIVES

Darrell Edward Issa
(Full Name)

1725 Longworth House Office Bulliding Washington, DC 20515
(Mailing Address)

202-225-3906
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representative — State: CA District: 48	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		5-22-2002

2296

SCHEDULE I - EARNED INCOME

Name Darrell Edward Issa

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Directed Electronics, Inc.	Salary (earned in 2000, not received until 2001)	$162,000
Directed Electronics, Inc.	Spouse Salary	over $1000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Darrell Edward Issa

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
See Attached				

Schedule III - Assets and "Unearned" Income

Asset	Value of Asset	Income Type	Amount of Income	Transaction
Albertsons Inc Common Stock	$5,001 - $15,000	Dividend	$201 - $1,000	
Alcoa Inc Common Stock	$15,001 - $50,000	Dividend	$201 - $1,000	
Alliance Bernstein Value Mutual Fund	$1,000,001 - $5,000,000			Purchased
Alliance Growth & Income Mutual Fund	$1,000,001 - $5,000,000	Div / Cap Gain	$100,001 - $1,000,000	Purchased
Alliance Select Investor Series Mutual Fund	$500,001 - $1,000,000			Purchased
American AMCAP Mutual Fund	$1,000,001 - $5,000,000			Purchased
American General Corporation Common Stock	None	Dividend	$201 - $1,000	Exchange
American Growth Fund of America Mutual Fund	$1,000,001 - $5,000,000	Dividend	$2,501 - $5,000	Purchased
American High Income Mutual Fund	$250,001 - $500,000			Purchased
American New Perspective Mutual Fund	$1,000,001 - $5,000,000			Purchased
Anaheim CA Pub Fng at TX Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	
Arcata CA Jt Pwrs Fa Tax Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
AT&T Wireless Services Common Stock	$1,001 - $2,500			Spinoff
Bay Area Bvt Assn Ca Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	Purchased
BP Common Stock	$5,001 - $15,000	Dividend	$201 - $1,000	
Bristol Myers Squibb Company Common Stock	$15,001 - $50,000	Dividend	$201 - $1,000	
Burbank CA Pub Svc Dept Municipal Bond	None	Capital Gain	$15,001 - $50,000	Redemption
Burlington Resources Inc Common Stock	$5,001 - $15,000	Dividend	$201 - $1,000	
Calaveras Co CA Wtr Dist Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
California Cities Home Ownership Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
California Hlth Fcs Fing Municipal Bond	None	Capital Gain	$15,001 - $50,000	Redemption
California St Municipal Bond	$1,000,001 - $5,000,000	Interest	$100,001 - $1,000,000	
California St Municipal Bond	$500,001 - $1,000,000	Interest	$15,001 - $50,000	Purchased
California St Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
California St Municipal Bond	$100,001 - $250,000	Interest	$5,001 - $15,000	Purchased
California St Municipal Bond	None	Div / Cap Gain	$50,001 - $100,000	Sold
California St Municipal Bond	None	Div / Cap Gain	$100,001 - $1,000,000	Sold
California St Pub Wks Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	Purchased
California St Revenue Municipal Bond	$5,000,001 - $25,000,000			Purchased
California St Var Purp Municipal Bond	$1,000,001 - $5,000,000	Interest	$100,001 - $1,000,000	Purchased
California St Vets Municipal Bond	$1,000,001 - $5,000,000	Interest	$100,001 - $1,000,000	
Central Valley SD Fing Municipal Bond	$1,000,001 - $5,000,000			Purchased
Chevrontexaco Corp Common Stock	$15,001 - $50,000	Dividend	$201 - $1,000	

Chubb Corp Common Stock	$15,001 - $50,000	Dividend	$201 - $1,000	
Clark Cnty NV Sch Dist Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	Purchased
Colorado Health Facs Ath Municipal Bonds	$500,001 - $1,000,000	Interest	$15,001 - $50,000	Purchased
Conroe Tex Isd Lot A Municipal Bond	$500,001 - $1,000,000	Interest	$15,001 - $50,000	Purchased
Contra Costa Cnty CA Municipal Bond	$1,000,001 - $5,000,000	Interest	$5,001 - $15,000	Purchased
Cupertino CA Uni Sch Dist Municipal Bond	$250,001 - $500,000			Purchased
Davis NY Venture Mutual Fund	$1,000,001 - $5,000,000	Dividend	$2,501 - $5,000	Purchased
East Bay CA Mud Sys Rev Municipal Bond	$1,000,001 - $5,000,000	Interest	$100,001 - $1,000,000	Purchased
Electric Data Systems Corp Common Stock	$15,001 - $50,000	Dividend	$1 - $200	
Federal Home Loan Bank	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Florida St Brd Ed Cap Municipal Bond	None	Capital Gain	$100,001 - $1,000,000	Redemption
Gilroy CA Uni Sch Dt Cop Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Greene Properties*	$5,000,000 - $25,000,000	Dividend	$100,001 - $1,000,000	
Guam Pwr Auth Municipal Bond	$500,001 - $1,000,000	Interest	$15,001 - $50,000	Purchased
Guam Pwr Auth Rev Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Hawaii St Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	
Industry CA Municipal Bond	None	Div / Cap Gain	$5,001 - $15,000	Purchased / Sold
ING Pilgrim Small Cap Growth Mutual Fund	$250,001 - $500,000	Capital Gain	$201 - $1,000	Purchased
J P Morgan Chase and Company Common Stock	$5,001 - $15,000	Dividend	$201 - $1,000	
JNI Corporation Common Stock	None	Capital Gain	$15,001 - $50,000	Sale
John Hancock Focused Relative Value Mutual Fund	$500,001 - $1,000,000			Purchased
John Hancock Small Cap Growth Mutual Fund	$500,001 - $1,000,000			Purchased
John Hancock Small Cap Value Mutual Fund	$1,000,001 - $5,000,000	Capital Gain	$5,001 - $15,000	Purchased
Johnson and Johnson Company Common Stock	$15,001 - $50,000	Dividend	$201 - $1,000	
Los Angeles CA Dept Wtr Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Los Angeles CA Dept Wtr Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	Purchased
Los Angeles CA Dept Wtr Municipal Bond	$5,000,001 - $25,000,000	Interest	$100,001 - $1,000,000	Purchased
Los Angeles CA Uni Sch Dist Municipal Bond	$100,001 - $250,000	Interest	$2,501 - $5,000	Purchased
Los Angeles CA Uni Sch Dist Municipal Bond	$250,001 - $500,000	Interest	$5,001 - $15,000	Purchased
Los Angeles CA Wwtr Sys Municipal Bond	$250,001 - $500,000	Interest	$5,001 - $15,000	Purchased
Los Angeles Cnty CA Mta Lsl Tax Municipal Bond	$500,001 - $1,000,000			Purchased
Los Angeles Cnty CA Tran Municipal Bond	None	Capital Gain	$50,001 - $100,000	Redemption
Los Angeles Co CA Pub Wk Municipal Bond	None	Div / Cap Gain	$100,001 - $1,000,000	Sold
Maricopa Co AZ SD28 Krne Municpal Bond	None	Capital Gain	$100,001 - $1,000,000	Redemption
Merrill Lynch Banking Advantage Money Market	$250,001 - $500,000	Interest	$15,001 - $50,000	
Merrill Lynch Fundamental Growth Mutual Fund	$1,000,001 - $5,000,000			Purchased
Merrill Lynch Institutional Tax Exempt Money Market	$5,000,001 - $25,000,000	Interest	$100,001 - $1,000,000	

Merrill Lynch Small Cap Value Mutual Fund	$1,000,001 - $5,000,000			Purchased
Metro Wtr Dist Southn CA Municipal Bond	$1,000,001 - $5,000,000			Purchased
Metropolitan Wtr Dt Sotn CA Wtrwks Municipal Bond	None	Capital Gain	$100,001 - $1,000,000	Redemption
Metropolitan Wtr Dt Sthn CA Municipal Bond	$1,000,001 - $5,000,000	Interest	$5,001 - $15,000	Purchased
Metropolitan Wtr Dt Sthn Wtrwks Municipal Bond	$100,001 - $250,000			Purchased
MFS Capital Opportunities Mutual Fund	$1,000,001 - $5,000,000			Purchased
MFS High Income Mutual Fund	$100,001 - $250,000			Purchased
MFS Mid Cap Growth Mutual Fund	$1,000,001 - $5,000,000			Purchased
MFS Strategic Value Mutual Fund	$1,000,001 - $5,000,000			Purchased
MFS Value Mutual Fund	$1,000,001 - $5,000,000			Purchased
Midpeninsula Rgl Opn Spc Municipal Bond	$250,001 - $500,000			Purchased
Napa CA Wtr Rev Municipal Bond	$1,000,001 - $5,000,000	Interest	$5,001 - $15,000	Purchased
New Orleans LA Municipal Bond	$500,001 - $1,000,000	Interest	$15,001 - $50,000	Purchased
New York St Dorm Auth Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Northern CA Pub Pwr Agy Municipal Bond	$1,000,001 - $5,000,000			Purchased
Omaha Pub Pwr Dist Municipal Bond	$1,000,001 - $5,000,000			Purchased
PIMCO High Yield Mutual Fund	$250,001 - $500,000	Dividend	$1,001 - $2,500	Purchased
PIMCO Renaissance Mutual Fund	$1,000,001 - $5,000,000	Dividend	$1,001 - $2,500	Purchased
PIMCO Target Mutual Fund	$1,000,001 - $5,000,000			Purchased
Pioneer High Yield Mutual Fund	$1,000,001 - $5,000,000	Dividend	$2,501 - $5,000	Purchased
Puerto Rico Commonwealth Hwy Trn Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	
Puerto Rico Commonwealth Municipal Bond	$250,001 - $500,000			Purchased
Puerto Rico Commonwealth Pub Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Puerto Rico Comwlth Aqueduct Municipal Bond	$1,000,001 - $5,000,000			Purchased
Puerto Rico Elec Pwr Municipal Bond	None	Div / Cap Gain	$100,001 - $1,000,000	Sold
Regional Transn Dt Colo Municipal Bond	None	Div / Cap Gain	$100,001 - $1,000,000	Sold
Riverside Co CA Cop Municipal Bond	$100,001 - $250,000	Interest	$2,501 - $5,000	Purchased
Sacramento CA City Fing Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Sacramento CA City Fing Municipal Bond	$1,000,001 - $5,000,000	Interest	$5,001 - $15,000	Purchased
San Diego Cnty & Sch Dt Municipal Bond	$1,000,001 - $5,000,000			Purchased
San Diego Cnty CA Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
San Diego Co CA Cop Municipal Bond	None	Div / Cap Gain	$5,001 - $15,000	Redemption
San Francisco CA Cy-cnty Municipal Bond	$250,001 - $500,000	Interest	$5,001 - $15,000	Purchased
San Joaquin Hills CA Tca Municipal Bond	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	Purchased
San Jose CA Arpt Rev Municipal Bond	$500,001 - $1,000,000			Purchased
San Mateo Cnty CA Transn Municipal Bond	$500,001 - $1,000,000	Interest	$15,001 - $50,000	Purchased
Santa Rosa CA Wastewater Municipal Bond	$100,001 - $250,000	Interest	$2,501 - $5,000	Purchased

SBC Communications Inc Common Stock	$5,001 - $15,000	Dividend	$201 - $1,000	
Southwest Airlines Company Common Stock	$15,001 - $50,000	Dividend	$1 - $200	
Standard&Poors Depository Recpts	$100,001 - $1,000,000			Purchased
University CA Revs Hosp UCLA Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
University CA Revs Hosp UCLA Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
University CA Revs Multi Municipal Bond	$1,000,001 - $5,000,000	Interest	$15,001 - $50,000	Purchased
Vanguard 500 Index Admiral Mutual Fund	$25,000,001 - $50,000,000	Dividend	$100,001 - $1,000,000	
Wells Fargo & Company Common Stock	$15,001 - $50,000	Dividend	$201 - $1,000	
Xerox Corp Common Stock	None	Dividend	$1 - $200	

* Greene Properties is a property management company ic which owns a light industrial building at 1 Viper Way, Vista, CA and Tri-City Office Towers at 3142 & 3158 Vista Way in Oceanside, CA

SCHEDULE IV - TRANSACTIONS

Name Darrell Edward Issa

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	See attached			

Schedule IV - Tansactions

SP,DC,JT	Asset	Type	Date	Amount of Transaction
JT	Federal Home Loan Bank	Purchase	01/16/01	$500,001 - $1,000,000
JT	Davis NY Venture Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	Massachusetts Investors Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	American Growth Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	MFS Capital Opps Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	Alliance Growth & Income Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	Merrill Lynch Fundamental Growth Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	John Hancock Small Cap Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	ING Pilgrim Small Cap Mutual Fund	Purchase	02/12/01	$250,001 - $500,000
JT	MFS Mid Cap Growth Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	PIMCO Target Mutual Fund	Purchase	02/12/01	$1,000,001 - $5,000,000
JT	East Bay CA Mud Sys Rev Municipal Bond	Purchase	04/18/01	$1,000,001 - $5,000,000
JT	Guam Pwr Auth Municipal Bond	Purchase	04/18/01	$500,001 - $1,000,000
JT	California State Var Purp Municipal Bond	Purchase	04/19/01	$1,000,001 - $5,000,000
JT	San Joaquin Hill California Municipal Bond	Purchase	04/19/01	$1,000,001 - $5,000,000
JT	Sacramento CA City Fing Municipal Bond	Purchase	04/20/01	$500,001 - $1,000,000
JT	Sacramento CA City Fing Municipal Bond	Purchase	04/20/01	$1,000,001 - $5,000,000
JT	Contra Costa County CA Municipal Bond	Purchase	04/25/01	$500,001 - $1,000,000
JT	San Diego County CA Reg Municipal Bond	Purchase	04/26/01	$1,000,001 - $5,000,000
JT	California State Municipal Bond	Purchase	04/27/01	$100,001 - $250,000
JT	Metropolitan Water Municipal Bond	Purchase	04/27/01	$100,001 - $250,000
JT	Los Angeles County Dept Water Municipal Bond	Purchase	04/30/01	$5,000,001 - $25,000,000
JT	San Diego Co CA Cop Municipal Bond	Redemption	05/01/01	$250,001 - $500,000
JT	California State Municipal Bond	Purchase	05/01/01	$1,000,001 - $5,000,000
JT	Los Angeles County Dept Water Municipal Bond	Purchase	05/04/01	$1,000,001 - $5,000,000
JT	San Mateo County CA Municipal Bond	Purchase	05/14/01	$500,001 - $1,000,000
JT	Bay Area Gvt Assn CA Municipal Bond	Purchase	05/15/01	$1,000,001 - $5,000,000
JT	Conroe Tex Isd Municipal Bond	Purchase	05/16/01	$500,001 - $1,000,000

JT	Los Angeles CA Uni Sch Municipal Bond	Purchase	05/17/01	$100,001 - $250,000
JT	Puerto Rico Commonwealth Municipal Bond	Purchase	05/25/01	$500,001 - $1,000,000
JT	Los Angeles County Dept Water Municipal Bond	Purchase	05/25/01	$1,000,001 - $5,000,000
JT	Los Angeles CA Uni Sch Municipal Bond	Purchase	05/31/01	$250,001 - $500,000
JT	Burbank CA Pub Svc Dept Municipal Bond	Redemption	06/01/01	$1,000,001 - $5,000,000
JT	Florida St Brd Ed Cap Municipal Bond	Redemption	06/01/01	$1,000,001 - $5,000,000
JT	Napa CA Wtr Rev Municipal Bond	Purchase	06/01/01	$1,000,001 - $5,000,000
JT	California Hlth FCS Fin Municipal Bond	Redemption	06/01/01	$1,000,001 - $5,000,000
JT	Industry CA Municipal Bond	Purchase	06/13/01	$250,001 - $500,000
JT	San Diego Cnty & Sch Dt Municipal Bond	Purchase	06/13/01	$1,000,001 - $5,000,000
JT	Calaveras Co CA Wtr Dis Municipal Bond	Purchase	06/22/01	$1,000,001 - $5,000,000
JT	Colorado Health Fac At Municipal Bond	Purchase	06/27/01	$500,001 - $1,000,000
JT	Puerto Rico Commonwealth Municipal Bond	Purchase	06/27/01	$1,000,001 - $5,000,000
JT	University CA Revs Hosp Municipal Bond	Purchase	06/27/01	$1,000,001 - $5,000,000
JT	University CA Revs Mult Municipal Bond	Purchase	06/27/01	$1,000,001 - $5,000,000
JT	San Francisco Ca Cy-Cnt Municipal Bond	Purchase	06/27/01	$250,001 - $500,000
JT	Puerto Rico Commonwealth Municipal Bond	Purchase	06/28/01	$250,001 - $500,000
JT	Maricopa Co Az SD28 Krne Municipal Bond	Redemption	07/02/01	$1,000,001 - $5,000,000
JT	Metropolitan Wtr Dt Sth Municipal Bond	Purchase	07/02/01	$1,000,001 - $5,000,000
JT	Northern CA Pub Pwr Agy Municipal Bond	Purchase	07/02/01	$1,000,001 - $5,000,000
JT	California St Pub Wks Municipal Bond	Purchase	07/02/01	$1,000,001 - $5,000,000
JT	Metropolitan Wtr Dt Sot Municipal Bond	Redemption	07/02/01	$1,000,001 - $5,000,000
JT	Los Angeles Cnty Ca Tra Municipal Bond	Redemption	07/02/01	$1,000,001 - $5,000,000
JT	Metro Wtr Dist Southn Ca Municipal Bond	Purchase	07/06/01	$500,001 - $1,000,000
JT	Puerto Rico Commonwealth Municipal Bond	Purchase	07/11/01	$500,001 - $1,000,000
JT	Los Angeles Cnty CA Mta Municipal Bond	Purchase	07/12/01	$500,001 - $1,000,000
JT	Clark Cnty Ny Sch Dist Municipal Bond	Purchase	07/16/01	$1,000,001 - $5,000,000
JT	Guam Pwr Auth Municipal Bond	Purchase	07/17/01	$1,000,001 - $5,000,000
JT	Gilroy CA Uni Sch Dt Municipal Bond	Purchase	07/17/01	$1,000,001 - $5,000,000
JT	New York St Dorm Auth Municipal Bond	Purchase	07/18/01	$1,000,001 - $5,000,000
JT	Arcata CA Jt Pwrs Municipal Bond	Purchase	07/19/01	$1,000,001 - $5,000,000

JT	California Cities Home Municipal Bond	Purchase	07/20/01	$1,000,001 - $5,000,000
JT	San Jose CA Arpt Rev Municipal Bond	Purchase	07/30/01	$500,001 - $1,000,000
JT	Omaha Pub Pwr Dist Municipal Bond	Purchase	07/30/01	$1,000,001 - $5,000,000
JT	Riverside Co CA Cop Municipal Bond	Purchase	07/31/01	$100,001 - $250,000
JT	California St Municipal Bond	Purchase	07/31/01	$500,001 - $1,000,000
JT	New Orleans LA Municipal Bond	Purchase	08/01/01	$500,001 - $1,000,000
JT	Los Angeles CA Wwtr Sys Municipal Bond	Purchase	08/01/01	$250,001 - $500,000
JT	New Orleans LA Municipal Bond	Purchase	08/02/01	$250,001 - $500,000
JT	Santa Rosa CA Wastewater Municipal Bond	Purchase	08/07/01	$100,001 - $250,000
JT	University CA Revs Hosp Municipal Bond	Purchase	08/07/01	$1,000,001 - $5,000,000
JT	Cupertino Ca Uni Sch Municipal Bond	Purchase	08/10/01	$250,001 - $500,000
JT	Central Valley SD Fing Municipal Bond	Purchase	08/15/01	$1,000,001 - $5,000,000
JT	Regional Transn Dt Colo Municipal Bond	Sale	09/04/01	$1,000,001 - $5,000,000
JT	Puerto Rico Elec Pwr Municipal Bond	Sale	09/04/01	$1,000,001 - $5,000,000
JT	Los Angeles Co CA Pub Wk Municipal Bond	Sale	09/04/01	$1,000,001 - $5,000,000
JT	California St Revenue Municipal Bond	Purchase	10/01/01	$5,000,001 - $25,000,000
JT	California St Revenue Municipal Bond	Purchase	10/04/01	$5,000,001 - $25,000,000
JT	California State Municipal Bond	Sale	10/16/01	$1,000,001 - $5,000,000
JT	California State Municipal Bond	Sale	10/16/01	$500,001 - $1,000,000
JT	Midpeninsula Rgl Opn Municipal Bond	Purchase	10/30/01	$250,001 - $500,000
JT	MFS High Income Mutual Fund	Purchase	11/16/01	$100,001 - $250,000
JT	American High Income Mutual Fund	Purchase	11/16/01	$100,001 - $250,000
JT	PIMCO High Yield Mutual Fund	Purchase	11/16/01	$100,001 - $250,000
JT	Pioneer High Yield Mutual Fund	Purchase	11/20/01	$100,001 - $250,000
JT	Massachusetts Investors Mutual Fund	Sale	12/10/01	$1,000,001 - $5,000,000
JT	MFS Value Mutual Fund	Purchase	12/10/01	$1,000,001 - $5,000,000
JT	MFS Strategic Value Mutual Fund	Purchase	12/10/01	$1,000,001 - $5,000,000
JT	Pioneer High Yield Mutual Fund	Purchase	12/10/01	$100,001 - $250,000
JT	Industry CA Municipal Bond	Sale	12/10/01	$250,001 - $500,000
JT	JNI Corporation Common Stock	Sale	12/11/01	$50,001 - $100,000
JT	Pioneer High Yield Mutual Fund	Purchase	12/14/01	$100,001 - $250,000

JT	Davis NY Venture Mutual Fund	Purchase	12/26/01	$250,001 - $500,000
JT	American New Perspective Mutual Fund	Purchase	12/26/01	$1,000,001 - $5,000,000
JT	American Growth Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	PIMCO Renaissance Mutual Fund	Purchase	12/26/01	$1,000,001 - $5,000,000
JT	John Hancock Small Cap Growth Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	American AMCAP Mutual Fund	Purchase	12/26/01	$1,000,001 - $5,000,000
JT	Alliance Select Investor Series Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	MFS Value Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	Merrill Lynch Small Cap Value Mutual Fund	Purchase	12/26/01	$1,000,001 - $5,000,000
JT	Merrill Lynch Fundamental Growth Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	John Hancock Small Cap Mutual Fund	Purchase	12/26/01	$1,000,001 - $5,000,000
JT	Alliance Bernstein Value Mutual Fund	Purchase	12/26/01	$1,000,001 - $5,000,000
JT	MFS Strategic Value Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	John Hancock Focused Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	Pioneer High Yield Mutual Fund	Purchase	12/26/01	$500,001 - $1,000,000
JT	American New Perspective Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	American Growth Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	PIMCO Renaissance Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	John Hancock Small Cap Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	American AMCAP Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	Alliance Select Investor Series Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	MFS Value Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	Merrill Lynch Small Cap Value Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	John Hancock Small Cap Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	Alliance Bernstein Value Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	MFS Strategic Value Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	John Hancock Focused Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000
JT	Pioneer High Yield Mutual Fund	Purchase	12/27/01	$500,001 - $1,000,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Darrell Edward Issa

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Philippines United Against Crime/Kuwait FOTN	Feb 21-27	Washington, D.C.–Manilla, Philippines--Kuwait	Y	Y	Y	N/A
Aspen Institute	March 9-11	Washington, DC--The Greenbriar, NC--Washington, DC	Y	Y	Y	N/A
Center for Middle East Peace and Economic Cooperation	Oct 5 - 10	Washington, DC -- Bahrain -- Beirut, Lebanon -- Washington, DC	Y	Y	N	N/A
Siena Heights University (Travel as a Trustee of the University)	Jan 26 - 27	Washington, DC -- Adrian, MI -- Washington, DC	Y	Y	Y	N/A
Directed Electronics, Inc. (Travel as a Member of the Board of Directors)	Jan 4 - 7	Washington, DC -- Las Vegas, NV	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Darrell Edward Issa

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Greene Properties Inc.
Board of Directors	Issa Family Foundation Inc.
Board of Directors	Directed Electronics, Inc.
Board of Directors	USO
Board of Trustees	Siena Heights University

SCHEDULE IX - AGREEMENTS

Name Darrell Edward Issa

Identify the date, parties to, and general terms of any agreement or arrangement with respect to future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
12-21-99	Directed Electronics, Inc./Darrell E. Issa	Five year employment agreement for the position of President/CEO

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(10)

2002 MAY 15 PM 2:22

MC

(Office Use Only)

Ernest James Istook, Jr.
(FILER NAME)

6113 Inland Road
Warr Acres, OK 73132
(Mailing Address)

Home: (405) 722 3366
OKC Off: (405) 942-3636
DC Off: (202) 225-2132
(Daytime Telephone)

Filer Status	[X] Member of the U.S. House of Representatives — State OK District 5	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** — Yes [X] No [ ]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [X] No [ ]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.** — Yes [ ] No [X]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ernest J. Istook Jr.	5/13/2002

2311

Name	Page 2 of 8
ISTOOK, Ernest James, Jr.	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Columbia Presbyterian Hospital, 700 NE 13th St, OKC, OK 73104	Spouse's Income As Registered Nurse	N/A
	Inova Mt. Vernon Hospital, c/o 2990 Telester Court, Falls Church, VA 22042	Spouse's Income As Registered Nurse	N/A

For payments to charity in lieu of honoraria, use Schedule II.

X

Name	Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples. Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E (P, S, E)
SP	Mega Corp. Stock		DIVIDENDS X		P
	Simon & Schuster	Indefinite	Royalties		
	1st Bank of Paducah, KY accounts	F X	INTEREST X	VI X; IX X	
	Former Law Office Furnishings 5400 N. Grand & 6113 Inland, OKC, OK			I X	
	Istook & Assoc., PC, Stock			I X	
JT	First Fidelity Bank West Ardmore, OK		INTEREST X	II X	
JT	Home: 6113 Inland Road West Ardmore, OK	F X		I X	
JT	Condo: 527 Bedford Lane, #3 Alexandria, VA	F X		I X	P
	IRA - Scudder Japan Fund Boston, MA	B X	DIVIDENDS X; CAPITAL GAINS X		

For additional assets and unearned income, use next page.

2314

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: 15Took, Ernest James, Jr.

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; X $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	John L. Bills Family Limited Partnership	C		I	S
SP	John L. Bills Family Limited Partnership	C		I	S
	6905 NW 50th Bethany, OK (Subject to contract for deed to Judy McKinney)	D		I	
	Federal Employees Thrift Savings Plan	E		I	
Self	Digital Retirement Plan (Intuit 401(k)): Promissory Note & Mortgage - with Ernest & Judy Took, Interest Bearing, OK	D		I	
	- Jefferson Pilot Ensemble Fund	C		I	
	- American Century Mutual Funds, Kansas City, MO				
	Ultra Fund	D	X	I	
	Equity Growth Fund	C	X	I	
	Income & Growth Fund	C	X	I	
	- Putnam Investments, Providence, RI	D	X	I	
SP	Bills Family Trust (Spouse's Interest)				
	- AIM Agg. Growth B	C			
	- Alger Fed Cap App	C			
	- Alger Mid Gro	C			
	- Alliance Premier Growth	C			
	- AIM Value Cl B	C			
	- AIM Charter B	C			
	- Alliance Mid C B	C			
	- Fidelity Adviser Strat T	C			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name 15 TOOK, Ernest James, Jr.

Page 5 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	- Fidelity Adv Small Cap T	C	DIVIDENDS, CAPITAL GAINS	I	
	- AIM Global Trend B	C	DIVIDENDS, CAPITAL GAINS	I	
	- AIM Basic Value B	C	DIVIDENDS, CAPITAL GAINS	I	
	- Scudder Tech B	C	DIVIDENDS, CAPITAL GAINS	I	
	- Davis NY Ven B	C	DIVIDENDS, CAPITAL GAINS	I	
	- Davis Oppty B	C	DIVIDENDS, CAPITAL GAINS	I	

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SCHEDULE IV — TRANSACTIONS

Name ISTOOK, Ernest James, Jr. Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Condo: 527 Bashford Lane #3, Alexandria, VA	X			5-21-01				X						
	John L. Bills Family Limited Partnership \ Holdings in Davis Growth Opportunity B Mutual Fund		X		5-2-01	X									
SP	John L. Bills Family Limited Partnership		X		5-2-01	X									
SP	Bills Family Trust (Spouse's Inheritance from Father – Spouse's mutual fund holdings as described on prior pages; exact transfer dates not ascertained; trust administered by Cheryl Jaffe, trustee)	X			Late 2001			X							

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	First USA Bank, Wilmington, DE	Revolving Account	X									
	First Fidel'y Bank (secured by McKinney property)	Mortgage Loan for Contract for Deed		X								
	Citibank, South Hackensack, NJ	Revolving Account	X									
	Chase Manhattan, NYC, NY	Revolving Account		X								
JT	UNIPAC, Denver, CO	College Loans	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Page of

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

This page may be copied if more space is required.

Name ISTOOK, Ernest James, Jr.	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President & Director	Istook & Associates, P.C., Oklahoma City, OK (dormant corp. from law practice)
General Partner	John L. Bills Family Limited Partnership, Oklahoma City, OK

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-781 (mao)

Use additional sheets if more space is required.

HAND DELIVERED

CONGRESSIONAL RESOURCE CENTER
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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Jesse L. Jackson, Jr.
(Full Name)

313 Cannon House Office Building
Washington, D.C. 20515
(Mailing Address)

202-225-0773
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: Illinois District: 2	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jesse Jackson Jr.	May 15 - 02

2321

Name Jesse L. Jackson, Jr.	Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. Export-Import Bank	Spouse Salary	NA
	J. Donatella & Associates	Spouse Consulting	$21,000

For payments to charity in lieu of honoraria, use Schedule II.

Name Jesse L. Jackson, Jr.	Page 3 of 7

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	Forbes Magazine	Article	Dec. 6, 2001	$5,000

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Name Jesse L. Jackson, Jr. Page 4 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X																		P
DC	Examples: Simon & Schuster																			Royalties												
JT	1st Bank of Paducah, KY accounts						X									X									X							
	Putnam Capital App. (SEP)				X									X			X				X											
	Putnam Asset Alloc. (SEP)					X								X			X							X								
	Putnam Equity Inc.		X											X			X					X										
	Oppenheimer Quest Opp. V(IRA)		X											X			X				X											
SP	Putnam Asset Alloc. (SEP)			X										X			X					X										
SP	Opp Quest Opp Value (IRA)		X											X			X				X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jesse L. Jackson, Jr.

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	John Hancock Small Cap(SEP)		X											X			X				X											
SP	Amer. Inv. Co. of Amer (IRA)				X									X			X							X								
JT	Rental Condo- 240 N St., SW PE-4.2					X									X											X						

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C	N	N	N	N
Examples: Roycroft Corporation	Aug 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
General Mills	Jan. 14-15	DC-Minneapols Chicago	Y	Y	N	
Qatar	Apr. 5-12	DC--DXB--DOH--DC	Y	Y	Y	
Morehouse School of Medicine	May 18-19	DC--Atlanta--DC	Y	N	N	
The Nation	June 17-20	DC--NY--DC	Y	Y	N	
Americans for Democratic Action	June 23-24	CHGO--Los Angeles -CHGO	Y	Y	N	
SEIU, Local 250	Aug.23-24	Los Angeles-Oakland-Chgo	Y	Y	N	
Human Rights Campaign	Oct. 13	DC-Seattle-Chgo	Y	N	N	
NAACP Oakland Branch	Nov. 16-17	DC-San Francisco-DC	Y	Y	N	

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Name Jesse L. Jackson, Jr.	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Chicago Theological Seminary
Director	Easter Seals Metropolitan Chicago
Senior Advisory Board Member	JFK School of Gov't Institute of Politics, Harvard University

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (max)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(7)

HAND DELIVERED

2002 MAY 15 PM 10:05

(Office Use Only) HC

WILLIAM JENNINGS JEFFERSON
(Full Name)

240 CANNON BUILDING
(Mailing Address)

WASHINGTON DC 20515

Daytime Telephone: (202) 225-6636

Filer Status	[X] Member of the U.S. House of Representatives — State: LOUISIANA District: 02	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Wm J Jefferson	5/15/02

2328

Name	Page 2 of 2
WILLIAM J. JEFFERSON	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	SOUTHERN UNIVERSITY	SPOUSE SALARY	N/A
	THE RINT GROUP, INC.	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

2329

Name WILLIAM J. JEFFERSON

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investment(s), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock	F	DIVIDENDS: X	IV	P
	Examples: Simon & Schuster	B Indefinite	Other Type of Income: Royalties	IX	
	Examples: 1st Bank of Paducah, KY accounts	F	INTEREST: X	VI	
	SEE ATTACHED				

For additional assets and unearned income, use next page.

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

ASSET AND/OR UNEARNED INCOME SOURCE	VALUE OF ASSET							TYPE OF INCOME							AMOUNT OF INCOME										TRANS
	A	B	C	D	E	F	G	DIVIDENDS	RENTS	INTERESTS	CAPITAL GAINS	INTERUSTS	TRUSTS		I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
FARMLAND -40 ACRES, LAKE PROV. LA					X				X									X								
FARMLAND -50 ACRES, LAKE PROV. LA			X						X						X											
JEFFERSON, BRYAN & JUPITER - SHS. IN CORP.						X				X					X											
UNION SAVINGS & LOAN			X							X							X									
JEFFERSON FOR MAYOR CAMP - LOAN REC.						X		NONE							X											
JEFFERSON INTERESTS - LOAN RECEIVABLE						X				X					X											
JEFFERSON FOR GOVERNOR - LOAN REC.			X					NONE							X											
FREEMARKETS INC			X						X						X											S
ITURF INC			X						X						X											S
RICHARDSON ELECTRS LTD			X						X						X											S
GENESIS DIRECT		X							X						X											S
USA TALKS		X							X						X											S
FIDELITY SAVINGS & LOAN			X							X							X									

SCHEDULE IV — TRANSACTIONS

Name WILLIAM J. JEFFERSON

Page 2 of 2

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	SEE ATTACHED														

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SCHEDULE IV TRANSACTIONS

ASSET	TYPE OF TRANSACTION P	S	E	DATE	AMOUNT OF TRANSACTION B	C	D	E	F	G	H	I	J	K
FREEMARKETS INC		X		2/15/2001	X									
ITURF INC		X		2/15/2001	X									
RICHARDSON ELECTRS LTD		X		1/18/2001	X									
GENESIS DIRECT		X		1/18/2001	X									
USA TALKS		X		1/18/2001	X									
COMMERCE ONE INC DEL	X			1/18/2001	X									
COMMERCE ONE INC DEL		X		2/15/2001	X									
GENOME THERAPEUTICS CORP	X			1/18/2001	X									
GENOME THERAPEUTICS CORP		X		2/15/2001	X									
JEFFERSON FOR GOVERNOR - LOAN RECEIVABLE		X		5/9/2001	X									

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE DURING REPORTING PERIOD. SEE 1990 DISCLOSURE FORM FOR PRIOR AGREEMENT.	

GPO: 2002 77-791 (mec)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 2:47
(Office Use Only)

(10)

WILLIAM L. JENKINS
(Full Name)

767 McKinney Chapel Road, Rogersville, TN, 37857
(Mailing Address)

(423) 272-3878
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State: TN District: 1st — [ ] Officer or Employee — Employing Office

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	X	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**		X
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	X	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	X	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	X	
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**		X
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**		X
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**		X
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	X	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date Filed (Mo., Day, Yr.)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William L. Jenkins	5/14/02

2335

Name	William Lewis Jenkins	Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Tennessee Consolidated Retirement System	Legislative - Judicial Retirement	$29,597.88
	State of Tennessee Consolidated Retirement System	Spouse - Teachers Retirement	3,393.24

For payments to charity in lieu of honoraria, use Schedule II.

Name	William Lewis Jenkins	Page 3 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
N/A			

This page may be copied if more space is required.

Name William Lewis Jenkins | Page 4 of 10

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster				Indefinite															Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
JT	Building Main Street Rogersville, TN				X										X						X											
JT	Farm Land, Bray Road Rogersville, TN						X																									
JT	Farm Land, McKinney Chapel Road Rogersville, TN						X																									
SP	Farm Land, Drew Haynes Road Rogersville, TN						X																									
JT	Farm Land - Highway 70 Rogersville, TN				X																											
SP	Farm Land - Webster Valley Road Rogersville, TN							X																								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: William Lewis Jenkins

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Farm Land Off Highway 70 Rogersville, TN						X																									
JT	Cattle				X																											
JT	Farm Machinery				X																											
JT	Farm Land, Hickory Cove Rogersville, TN						X																									
JT	Farm income from land, cattle, machinery Gross $13,074. (Net $35,498)																															
	Mountain Metals MFG Corp.						X							X													X					
SP	1st TN National Corporation						X							X											X							
SP	Exxon Corporation			X										X									X									
SP	Amoco BP (formerly Amoco)				X									X										X								
	IRA-1st TN Bank (Managed by Trust Dept. Johnson City, TN								X					X		X					N/A - See P. 16 - INSTRUCTIONS											
SP	IRA-1st TN Bank (Managed by Trust Dept. Johnson City, TN						X							X		X					"			"				"				
	TN Farm Bureau Life Insurance Stock				X									X										X								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name William Lewis Jenkins

Page 6 of 10

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P. S. E.
JT	Farm Checking Account 1st IN Bank			X												X						X										
JT	Checking Account Citizens Bank			X												X							X									
	Savings Account Citizens Bank			X												X							X									
SP	Savings Account 1st IN Bank				X											X							X									
JT	Checking Account 1st IN Bank			X												X						X										
	Savings Account 1st IN Bank		X													X						X										

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SCHEDULE IV — TRANSACTIONS

Name William Lewis Jenkins

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
SP	Exxon Stock	X			10-10-01	X									
	1st TN Bank Stock		X		1145401	X									

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2341

Name William Lewis Jenkins | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
JT	Citizens Bank of Rogersville, Tennessee	Mortgage on Farm Land off Highway 70, Rogersville, TN			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ASPEN INSTITUTE	MAR 9-10-11	WASH. D.C.—GREENBRIER WEST VA. — TN.	Y	Y	Y	N
	(THIS TRAVEL WAS ERRONEOUSLY REPORTED ON THE 2009 F.D.S.)						

This page may be copied if more space is required.

Name	William Lewis Jenkins	Page 10 of 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
N/A	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	State of Tennsessee - William Lewis Jenkins	(same as 00)

GPO: 2002 77-791 (mso)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

RECEIVED
LEGISLATIVE RESOURCE CENTER
2002 MAY -9 PM 3:27
MC
(Office Use Only)

Christopher Charles John
(Full Name)

1504 Longworth H to B
(Mailing Address)

Wash DC 20515

(202 225-2031)
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: Louisiana District: 07	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Christopher C John	May 13, 2002

2345

Name	Page
Christopher John	2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N/A		

For payments to charity in lieu of honoraria, use Schedule II.

Name Christopher John | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

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Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
N/A			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

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If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A: Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED FUND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP, DC, JT	Examples: SP Mega Corp Stock					X								X																		P
	Examples: Simon & Schuster			Indefinite																Royalties												
	Examples: 1st Bank of Paducah, KY accounts						X									X										X						
	John N John Truckline Crowley LA								X						X						X				X							
	801 Northern Ave Crowley LA				X										X										X							
	108 11th Street Crowley LA			X											X										X							
	1224 Hwy 90 Crowley LA					X									X											X						
	1220 Hwy 90 Crowley LA				X										X											X						
	Evangeline Bank Crowley LA			X												X																

For additional assets and unearned income, use next page.

2348

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Christopher John

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	John John Travel Crowley LA	X																			X											
	Big Drake Properties Crowley LA								X						X												X					
	Federal ISP Wash DC					X										X					X											
	NY Life IRA Crowley LA			X										X									X									
	Kemper Fund Baton Rouge LA				X											X							X									
	Congressional Credit Wash DC			X												X						X										
	General Electric				X									X								X										
	Sanibel Key Condo Florida				X																X											
	E-Trade			X										X								X										

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2349

Name Christopher John | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
	Spanish Key Condo Florida Real Property	X					X								
	MIPS Tech Inc STOCK		X		02-08-01	X									

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Name Christopher John | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependant child. Mark the highest amount owed during the year **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000

SP, DC, JT	Creditor		Type of Liability	Amount of Liability									
				B $15,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware		Mortgage on 123 Main St., Dover, Del.				X						
	Sabine State Bank	Mamy, La.	Mortgage Spanish Key Pebble, FLA		X								
	Sabine State Bank	Mamy, La.	Business Loan (Passport) Travel			X							
	Sabine State Bank	Mamy, La	Personal Loan		X								
	Bank of Commerce	Crowley, La	Mortgage on 819 Mathis Crowley, LA	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	N/A	

Use additional sheets if more space is required.

Name Christopher John | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Aspen Institute	March 9-11	Wash DC - White Sulphur Springs WV - DC	Y	Y	Y	N
	Democratic Leadership Council	May 10-13	Wash DC - Key Largo, FL - Crowley LA	Y	Y	Y	N
	Independent Insurance of LA	June 22-24	Wash DC - Destin FL - Wash DC	Y	Y	Y	N
	Lake Charles Memorial Hospital	Aug 12-15	Crowley LA - San Jose - Crowley LA	Y	Y	Y	N
	IMPACT 2000	March 30-31	Wash DC - Charleston SC - Wash DC	Y	Y	Y	N
	IMPACT 2000	Aug 10-12	Crowley LA - Monterey CA Crowley LA	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	N/A

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

Use additional sheets if more space is required.

CHRIS JOHN
7TH DISTRICT, LOUISIANA

COMMITTEE ON
ENERGY AND COMMERCE

SUBCOMMITTEES
ENERGY AND AIR QUALITY

COMMERCE, TRADE AND
CONSUMER PROTECTION

OVERSIGHT AND INVESTIGATIONS

Congress of the United States
House of Representatives
Washington, DC 20515–1807

1504 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-2031
FAX: (202) 225-5724

200 LAFAYETTE STREET, SUITE 1400
LAFAYETTE, LA 70501
(337) 235-6322
FAX: (337) 235-6072

1011 LAKESHORE DRIVE, SUITE 306
LAKE CHARLES, LA 70601
(337) 433-1747
FAX: (337) 433-0574

www.house.gov/john

May 15, 2002

The Honorable Jeff Trandahl
Clerk of the U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, D.C. 20515-6612

MC

Dear Mr. Trandahl:

I would like to amend the financial disclosure statement for 2001 I filed yesterday to reflect the attached changes to Schedule VII – Travel Payments and Reimbursements. Thank you for your attention to my request.

Sincerely,

Chris John
Member of Congress

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES

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Name Chris John | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	GUMBO PAC	Apr. 17-20	Lafayette, LA - Las Vegas - Lafayette, LA	Y	Y	N	N
	GUMBO PAC	Sept 7-9	Wash, DC - Greenbrier, WV - Wash, DC	N	N	Y	N
	GUMBO PAC	Nov. 2-4	Wash, DC - Sea Island, GA - Lafayette, LA	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(10)

2002 MAY 15 PM 4:33

(Office Use Only)

Eddie Bernice Johnson
(Full Name)

2501 Cedar Springs Rd. #550
(Mailing Address)

214-922-8885
Daytime Telephone

Dallas, Texas 75201

Filer Status [X] Member of the U.S. House of Representatives — State: Texas District: 30th [ ] Officer or Employee — Employing Office:

Report Type [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[X]	[ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[ ]	[X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[X]	[ ]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Eddie Bernice Johnson	May 15, 2002

2356

Name Eddie Bernice Johnson	Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
State of Texas	Legislative Pension	$25,000
Social Security	Over 65	$15,000

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page
Eddie Bernice Johnson	3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	N/A			

This page may be copied if more space is required.

Name Eddie Bernice Johnson | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S) or exchanged (E) in reporting year.

Block A	Block B	Block C	Block D	Block E
	A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — Examples: SP Mega Corp Stock (Indefinite); Simon & Schuster; JT 1st Bank of Paducah, KY accounts		X; Royalties	X	P
Fuhrer Mgt Otgr Fund	X	X		
Fulnar Powers Fund				
Greenberger Main Street	X			
Fidelity Fund		X		
Texas Federal Credit Union	X		X	
US Savings Bonds	X		X	
Waterhouse Securities	X	X	X	
EBJ & Associates	X		X	
Metronomics, Inc.	X			

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Eddie Pernice Johnson

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	N/A																													

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Name Eddie Bernice Johnson | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

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SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	N/A														

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Name Eddie Bernice Johnson | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name Eddie Bernice Johnson | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

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Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Consumer Electronic Assoc.	Jan 6-8	DC-Atlanta-Las Vegas	Y	N	N	N
Turner Broadcasting	Jan 9-9	Las Vegas-Atlanta-Dallas	N	N	N	N
Ass. for Am. Railroads	Feb 23-26	Dallas-Phoenix-DC	Y	Y	N	N
PhRMA	March 2-3	DC-Atlanta-Dallas	Y	N	N	N
AT&T/Amer. Airlines/Microsoft	Mar 16-18	DC-San Jose-Dallas	Y	Y	Y	N
Nat'l Conf of Black Mayors	Mar 8-9	DC-Savannah DC	N	N	N	N
NAACP	Mar 23-24	Dallas-OK-Dallas	Y	Y	N	N
Info. Tech. Industry Counc.	Apr 20-22	DC-Dallas-DC	Y	Y	N	N
CBC Policy & Leadership Inst	June 8-9	DC-Charleston-Dallas	Y	Y	N	N
American Petroleum Inst	June 29-July 1	DC-Houston-Detroit	Y	Y	N	N
DNC	July 1	Detroit-Dallas	Y	N	N	N
Patton Boggs	July 5-6	Dallas-New Orleans-Dall	Y	N	N	N
NAACP	July 9	Dallas-New Orleans-DC	N	N	N	N
Nat'l Chamber Foundation	July 12-13	DC-Leesburg,VA-DC	Y	Y	N	N

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

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	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Nissan Corp	July 15	DC-Greensboro-DC	N	N	N	N
	Carib News	Oct 18-21	DC-Grenada-DC	Y	N	Y	N

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
N/A	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment, a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A		

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:43
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Nancy Lee Johnson
(Full Name)
2113 Rayburn Building
Washington DC 20515
(Mailing Address)
Daytime Telephone 202-225-4476

Filer Status: [X] Member of the U.S. House of Representatives — State: CT District: ___ [ ] Officer or Employee — Employing Office ___

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date ___

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Nancy L. Johnson	5/14/02

2366

Name Nancy Lee Johnson | Page 2 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments) provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP.	SP Mega Corp. Stock	X (A: None)	X (DIVIDENDS)		P
DC.	Examples: Simon & Schuster	X (B: $1,001 - $15,000)	X (INTEREST)	Royalties	
JT	1st Bank of Paducah, KY accounts	X (F: $100,001 - $250,000)	X (CAPITAL GAINS)	X (V: $2,501 - $5,000)	
	American Savings Bank IRA	X (C: $15,001 - $50,000)	X (INTEREST)	X (III: $20 - $1,000)	
	Fidelity Balanced IRA	X (C: $15,001 - $50,000)	X (INTEREST)	X (III: $20 - $1,000)	
	Fidel. CT Tax-Free Hi Yield	X (D: $50,001 - $100,000)	X (INTEREST); X (CAPITAL GAINS)	X (IV: $1,001 - $2,500)	
	Nuveen CT Premium Income Muni	X (D: $50,001 - $100,000)	X (DIVIDENDS)	X (IV: $1,001 - $2,500)	
	Fidelity Gov't Securities	X (B: $1,001 - $15,000)	X (DIVIDENDS)	X (II: $1 - $200)	

For additional assets and unearned income, use next page.

2367

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nancy Lee Johnson

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	F $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Invesco Equity Income Fund			X										X								X										
	Invesco Technology Fund		X																		X											
	Stanley Works Stock						X							X										X								
	Vanguard Star Portfolio				X									X			X							X								
	Vanguard Wellington Fund			X										X								X										
	Scudder Internatl Fund IRA			X										X								X										
	Charles Schwab M.M. Fund				X											X							X									S
	Vanguard Wellesley Fund				X									X			X							X								
	Vanguard Treasury M.M. Fund				X									X										X								S
	Mutual Shares Fund IRA				X									X			X							X								
	First City Bank IRA			X												X							X									
	Fidelity Utilities Fund				X									X			X						X									
	Ginos Associates				X										X									X								
	ICC Harbin Limited Partners			X												X								X								
	Janus Flexible Income Fund			X												X						X										
	Janus Worldwide Fund				X									X								X										
	Janus Growth & Income Inst Fund			X										X								X										
	Vanguard Extended Market			X										X								X										
	Lindner Dividend Fund			X										X								X										
	Janus Twenty Fund			X										X								X										
	Fidelity Equity Income Fund-IRA			X										X			X						X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nancy Lee Johnson

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Fidelity Asset Manager IRA	D	DIVIDENDS, INTEREST	IV	
	Fidelity Midcap Stock IRA	C	DIVIDENDS	II	
	Fidelity Global Balanced IRA	C	DIVIDENDS	II	
	Fidelity Tax-exempt M.M. Fund	C	INTEREST	II	
	Janus Balanced Fund	C	DIVIDENDS, INTEREST	II	
	Janus Global Tech Fund	C		I	
	Fidelity Select Technology	C		I	
	Fidelity Independence Fund	C	DIVIDENDS, CAPITAL GAINS	II	
	Vanguard Growth Index Fund	C	DIVIDENDS	II	
	Nuveen Municipal Bond Fund	C	INTEREST	III	
	Nuveen Unit. Investment Trusts	D		III	
	First City Bank Checking	D	INTEREST	III	
	First City Bank Stock	C	DIVIDENDS	II	
	John Hancock Financial Services	C	DIVIDENDS	II	
	Fidelity Growth & Income Fund	C	DIVIDENDS, CAPITAL GAINS	III	
	Lord Abbett Balanced Stock Fund	F		III	P
	Lord Abbett Investment Trust	E		III	P, E
	CT State Airport Revenue	C	INTEREST	II	P

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2369

Name Nancy Lee Johnson | Page 5 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: Transaction P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X																		P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
	Merrill Lynch IRA:																															
	-CISCO System			X																												
	- AIM Constellation Fund						X																									
	-American Capital Worldwide GFT Fund						X																									S
	-PSCO Capitol Trust				X																											S

For additional assets and unearned income, use next page.

* Not provided with Break-down of income.

2370

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Nancy Lee Johnson

Page 6 of 9

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P. S. E
	Merrill Lynch IRA:																															
	- United Dominion Rety Trust				X																											
	- " " " "				X																											
	- Lehman Bros. Inc.					X																										
	- Ford Motor Credit Co					X																										
	- Shaw Commun. Inc Sr. A					X																										S
	- Debt. Strategies Fund II				X																											
	- Public Storage			X																												S
	- " "				X																											S
	- " "				X																											S
	- Putnam Health Science				X																											
	- Davis Series Financial				X																											
	- Merrill Lynch Global Tech Fund				X																											
	- Washington Mutual Fund							X																								
	- New Perspective Fund							X																								
	- Investment Company of America							X																								
	- Coca Cola Company			X																												
	- Johnson & Johnson			X																												
	- Gillette Company			X																												
	- Microsoft Company			X																												
	- AOL			X																												
	- Franklin Managed Fund				X																											

This page may be copied if more space is required.

* Not Provided with Breakdown of Income

2371

SCHEDULE IV — TRANSACTIONS

Name Nancy Lee Johnson

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Fidelity Government Income Fund	X			10-12-01	X									
	Connecticut State Airport Revenue	X			4-10-01	X									
	Lord Abbett Balanced Stock Fund	X			4-14-01			X							
	Lord Abbett Investment Trust			X	9-21-01		X								
	Lord Abbett Balanced Fund			X	9-21-01										
	Charles Schwab M.M. Fund		X		11-29-01	X									
	Vanguard M.M. Fund		X		4-11-01	X									
	Merrill Lynch IRA - Public Storage		X		3-13-01	X									
	Merrill Lynch IRA - PSCO Capitol Trust		X		3-13-01	X									
	Merrill Lynch IRA - Shaw Communications		X		3-13-01	X									
	Merrill Lynch IRA - PSCO Capitol Trust		X		5-10-01	X									
	Merrill Lynch IRA - Public Storage		X		9-4-01		X								
	Merrill Lynch IRA - American New Perspective		X		12-3-01		X								

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2372

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Nancy Lee Johnson | Page 9 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Ripon Educational Fund	8-6-01 8-18-01	Hartford, CT - Scotland - Hartford, CT	Y	Y	Y	Y 7

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2002 MAY 15 PM 3:19
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

8

MC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

The Honorable Samuel Robert Johnson
(Full Name)

1030 Longworth HOB
(Mailing Address)

Washington, DC 20515

Daytime Telephone: 202-225-4201

Filer Status	[X] Member of the U.S. House of Representatives — State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependant child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Samuel R. Johnson	15 May 02

2375

Name Samuel Robert Johnson	Page 2 of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	none		

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page	of
Samuel Robert Johnson	3	

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	none			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Samuel Robert Johnson

Page 4 of

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP, DC, JT	Block A (Examples)	Block B (Examples)	Block C (Examples)	Block D (Examples)	Block E (Examples)
SP	Mega Corp. Stock	Indefinite	DIVIDENDS: X	$2,501 – $5,000	P
SP	Simon & Schuster		Other Type of Income (Specify. For Example, Partnership Income or Farm Income): Royalties	$100,001 – $1,000,000	
JT	1st Bank of Paducah KY accounts	X	INTEREST: X	$5,001 – $15,000	
JT	Cong. Federal Credit	X	INTEREST: X	$1 – $200	
JT	Legacy Bank of Texas	X	INTEREST: X	$1 – $200	
JT	Franklin Metals	X		$1 – $200	
JT	AXA	X	DIVIDENDS: X	$1 – $200	
T	USAF Disability non-taxable				

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Samule Robert Johnson | Page 5 of

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
T	Social Security		SSecurity	X	
S	Social Security		SSecurity	X	

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SCHEDULE IV — TRANSACTIONS

Name Samuel Robert Johnson | Page 6 of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		Type of Transaction			Date	Amount of Transaction										
SP DC JT	Asset	PURCHASE	SALE	EXCHANGE	(MO./DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example.* Mega Corporation Common Stock	X			10 12 01		X								
	none														

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Name Samuel Robert Johnson | Page 7 of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American Railroads	July 6-9	Washington, DC- Jackson Hole, WY	Y	Y	Y- Wife	N
The ASpen Institute	March 7-11	Congressional Retreat	Y	Y	Y- Wife	N
Committee on Ways & Means US House of Representatives Armed Services	June 19-23	Washington DC-France military transportation	Y	Y	Y- Wife	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board	Old Red Courthouse, Dallas, TX
Board Member	Friends of the Dallas Police, Dallas, TX
Advisory Board	Collin County Youth Advisory Charity Plano TX

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

AND DELIVERED
LEGISLATIVE RESOURCE CENTER (8)
2002 MAY 15 PM 12:42
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Timothy Vincent Johnson
(Full Name)

413 Berringer Circle
(Mailing Address)

Urbana, IL 61802

Daytime Telephone: 202-225-2371

Filer Status	[X] Member of the U.S. House of Representatives — State: Illinois, District: 15th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[ ]	[X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[X]	[ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[X]	[ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[ ]	[X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[X]	[ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? None currently known	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

2383

Name Timothy V. Johnson

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
SP, DC, JT	Examples: SP Mega Corp. Stock	A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income of Firm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, or E
	Simon & Schuster	Indefinite	Royalties		
	1st Bank of Paducah, KY accounts	F X		IV X; VI X	
	First National Bank of Ivesdale	C X	INTEREST X	III X	
	Longview State Bank	C X	INTEREST X	III X	
	First National Bank of Ogden	C X	INTEREST X	III X	
	Central Illinois Bank	C X	INTEREST X	III X	
	1st Mid-Illinois Bank & Trust	C X	INTEREST X	III X	
	Buckley State Bank	C X	INTEREST X	III X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Timothy V. Johnson

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	First National Bank of Homer			X												X							X								
	Bank Illinois			X												X							X								
	Cissna Park State Bank			X												X							X								
	Busey Bank			X												X							X								
	Bank of Gibson City			X												X							X								
	First State Bank of Atwood			X												X							X								
	First State Bank of Arcola			X												X							X								
	Dewey State Bank			X												X							X								
	Gifford State Bank			X												X							X								
	Villa Grove State Bank			X												X							X								
	Bank of Rantoul			X												X							X								
	Philo Exchange Bank			X												X							X								
	Rantoul First Bank			X												X							X								
	First State Bank of Monticello						X									X										X					
	Tuscola National Bank			X												X							X								
	Farmer's Merchant Bank			X												X							X								
	Fisher National Bank			X												X							X								
	First National Bank of Paxton			X												X							X								
	Sidney Illinois Farmland						X													Farm Income					X						
	61-165 Ilachu, Hawaii	X												X												X					B
	Condominium (1/2 Interest)				X									X										X							
	61-165 Ilichu, Hawaii Installment Contract								X							X											X				

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Timothy V. Johnson

Page 3 of 3

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Johnson, Frank, Frederick & Walsh - Law Firm																															
	installment buyout				X												X												X			
	General Assembly Ret Sys								X											Pension	X											
	Loan to Friends of Tim Johnson							X								X					X											
	Eaton Vance Tax Managed Growth Fund				X									X									X									P
	Alliance Capital Reserves MM			X										X									X									
	Putnam Intl Growth Fd			X										X							X											P
	Scudder High Yield Fd				X									X										X								P
	I shares Tr Russell 2000 Index Fund			X										X								X										P
	Standard & Poor Depositary Receipts	X												X								X										P,S
	First State Bank Gothenburg Neb				X											X							X									P
	Providian National Bank Tilton NH				X											X					X											P
	Providian National Bank Tilton NH				X											X					X											P
	Eaton Vance Floating Rate Fund	X														X							X									P,S

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SCHEDULE IV — TRANSACTIONS

Name Timothy V. Johnson

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	61-165 Iliohu, Hawaii		X		06-05-01						X				
	Eaton Vance Floating Rate Fund		X		10-03-01		X								
	Standard & Poors Depositary Receipts		X		12-19-01	X									
	Eaton Vance Tax Managed Grwoth Fund	X			07-03-01		X								
	Eaton Vance Floating RateFund	X			07-05-01		X								
	I Shares Tr Russell 2000 Index Fund	X			07-03-01	X									
	Putnam International Growth Fund	X			07-05-01	X									
	Standard & Poors Depositary Receipts	X			07-03-01		X								
	Scudder High Yield Fund	X			07-06-01		X								
	First St Bk Gothenberg Neb CD	X			07-06-01		X								
	Providian Natl Bk Tilton NH CD	X			07-06-01		X								
	Providian Natl Bk Tilton NH CD	X			07-06-01		X								

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Name Timothy V. Johnson

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances, and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Busey Bank	Mortgage-406 Colorado Urbana, Illinois			X							
	Busey Bank	Auto Loan		X								
	Busey Bank	Home Improvement		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Jewish Federation of Metropolitan Chicago	Aug. 7-13	Chicago-Jerusalem-Chicago	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1-9-01	Johnson, Frank, Frederick& Walsh Buy-Out from Law Firm Partnership	Cash down payment, 15 monthly payments, and assumption of liability

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

(6)

HAND DELIVERED

2002 MAY 15 PM 4:13

(Office Use Only)

Stephanie Tubbs Jones
(Full Name)

1516 Longworth House Office Building Washington, DC 20515
(Mailing Address)

(202) 225-7032
Daytime Telephone

HL

Filer Status	☑ Member of the U.S. House of Representatives — State: OH District: 11	☐ Officer Or Employee	Employing Office
Report Type	✓ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ✓ No
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Stephanie Tubbs Jones	5/15/02

2391

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Stephanie Tubbs Jones

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Public Employees Retirement System	$100,001 - $250,000	NA	$50,001 - $100,000	
SP	Real Estate - 495 Eddy Road Cleveland OH 44110	$50,001 - $100,000	Rent	$5,001 - $15,000	
SP	3606 East 147th Cleveland OH 44110	$50,001 - $100,000	RENT	$2,501 - $5,000	
JT	Jihad Filmworks	$1,001 - $15,000	NA	NONE	

SCHEDULE V - LIABILITIES

Name Stephanie Tubbs Jones

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	MBNA	Credit Card	$15,001 - $50,000
SP	Superior Bank	Mortgage on 945 Eddy Road	$50,001 - $100,000
SP	Household Finance	Mortgage on E. 147th Street	$50,001 - $100,000
	Wright Patman Congressional Credit Union	Credit Card	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Stephanie Tubbs Jones

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Information Technology Industry Council	Apr. 26 - 29	Washington, DC - Dallas. TX - Cleveland, OH	Y	Y	Y	N/A
Democratic Leadership Council	May 11 - 12	Washington, DC - Key Largo, FL	Y	Y	Y	N/A
Southern University Law Center	May 12 - 13	Miami, FL - Baton Rouge, LA - Cleveland, OH	Y	N	Y	N/A
Congressional Black Caucus Policy & Leadership Institute	June 8 - June 11	Cleveland, OH - Charleston, SC - Cleveland, OH	Y	Y	Y	N/A
American Petroleum Institute	June 28 - 30	Washington, DC - Houston, TX - Cleveland, OH	Y	Y	N	N/A
Smith, Dawson & Andrews	July 12 - July 16	Washington, DC - Vieques, PR - Washington, DC	Y	Y	Y	N/A
Carib News	Oct 18 - 21	Washington, DC - Grenada - Washington, DC	Y	Y	Y	N/A
United Negro College Fund	Oct 25 - 26	Washington, DC - Columbus, OH - Cleveland, OH	Y	Y	N	N/A
Volunteer Lawyers Project	Dec 14	Washington, DC - Dayton, OH - Cleveland, OH	Y	N	N	N/A

SCHEDULE VIII - POSITIONS

Name Stephanie Tubbs Jones

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Bethany Baptist Church Cleveland, Ohio
Trustee	Community Reentry Program/Partnership for a Safer Cleveland Cleveland, Ohio
Trustee	Hawken School Cleveland, Ohio

SCHEDULE VIII - POSITIONS

Name Marcia (Marcy) C. Kaptur

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	The Anastasia Fund, P.O. Box 2121, Toledo, OH 43603 [a public charity established in the names of Anastasia and Stephen Kaptur]

(5)

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2002 MAY 15 PM 12: 16

(Office Use Only) [illegible]
U.S. HOUSE OF REPRESENTATIVES

2397

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

Walter Beaman Jones
(Full Name)

422 Cannon House Office Building Washington, DC 20515
(Mailing Address)

202/225-3415
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives State: NC District: 03 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Walter B. Jones	5/15/2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Walter Beaman Jones

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see Instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of Income by checking the appropriate box below. Dividends, even if reinvested, should be listed as Income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	BB&T	$50,001 - $100,000	Dividends	$201 - $1,000	
JT	Bradford Money Fund	$1,001 - $15,000	Dividends	$1 - $200	
JT	Centura Bank	$1 - $1,000	Dividends	$1 - $200	
SP	Floyd Harrell, Rt. 4, Tarboro, NC 27886	$100,001 - $250,000	Rent	$5,001 - $15,000	
JT	Ford Motor Company	$1,001 - $15,000	Dividends	$1 - $200	
JT	Investors Title Company	$1,001 - $15,000	Dividends	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Walter Beaman Jones

JT	Merck & Company	$1,001 - $15,000	Dividends	$1 - $200
SP	Millie Peeden, Peeden Farms, Belvoir, NC	$100,001 - $250,000	Rent	$2,501 - $5,000
JT	Nations Bank	$1,001 - $15,000	Dividends	$1 - $200
JT	Nucor	$1,001 - $15,000	Dividends	$1 - $200
JT	Philip Morris	$1,001 - $15,000	Dividends	$201 - $1,000
JT	Putman New Growth Opportunities	$50,001 - $100,000	Dividends	$201 - $1,000
JT	Sara Lee	$1,001 - $15,000	Dividends	$1 - $200

SCHEDULE IV - TRANSACTIONS

Name Walter Beaman Jones

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Farm, Robersonville, NC	S		$100,001 - $250,000

SCHEDULE VIII - POSITIONS

Name Walter Beaman Jones

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Eastern Carolina Vocational Center, Inc, Greenville, NC

WALTER B. JONES
3D DISTRICT, NORTH CAROLINA

ROOM 422
CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
TELEPHONE (202) 225-3415

COMMITTEES
COMMITTEE ON ARMED SERVICES
COMMITTEE ON FINANCIAL SERVICES
COMMITTEE ON RESOURCES

Congress of the United States
House of Representatives
Washington, DC 20515–3303

DISTRICT OFFICE
1105-C CORPORATE DRIVE
GREENVILLE, NC 27858
(252) 931-1003
(800) 351-1697

(1)

June 3, 2002

MC

LEGISLATIVE RESOURCE CENTER
2002 JUN -5 PM 5:25
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Clerk of the House
Legislative Resource Center
B106 Cannon House Office Building
Washington, DC 20515-6612

INSIDE MAIL

Dear Sir:

This is to serve as an amendment to my Calendar Year 2000 and 2001 Financial Disclosure Statements.

Specifically, the farm in Robersonville, North Carolina, listed as being sold on form IV in 2001, did not include a date of sale. Further, the same farm had been erroneously listed as having been sold in my calendar year 2000 report.

The actual date of sale was June 5, 2001.

I apologize for any confusion this error may have caused. Please do not hesitate to call if I can be of any assistance to you on this or other matters.

Sincerely,

Walter B. Jones

Walter B. Jones
Member of Congress

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

HAND DELIVERED (b)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12:00
OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES
(Office Use Only)

MG

Paul E. Kanjorski
(Full Name)

103 South Hanover Street Nanticoke, PA 18634
(Mailing Address)

202-225-6511
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: PA, District: 11	☐ Officer Or Employee	Employing Office: U.S. HOUSE OF REPRESENTATIVES
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

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I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

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Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions-	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Paul E. Kanjorski	May 15, 2002

2403

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Paul E. Kanjorski

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
National Association of Realtors	Speech	May 17, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Paul E. Kanjorski

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Cross Valley Credit Union	$50,001 - $100,000	INTEREST	$2,501 - $5,000	NA
JT	IRA Equitable Life	$1,001 - $15,000	none	NONE	NA
JT	IRA Prudential Life Bache Securities, AM Capital Government Fund	$50,001 - $100,000	none	NONE	NA
	Real property -- 20+ acres, 1/2 interest, Dallas Twp., Luzerne Co., PA	$250,001 - $500,000	none	NONE	NA
	Real property -- 90+ acres, 1/5 interest, Wright Twp., Luzerne Co., PA	$500,001 - $1,000,000	none	NONE	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Paul E. Kanjorski

	1/10 interest, father's estate	$15,001 - $50,000	none	NONE	NA
	1/5 interest, mother's estate	$15,001 - $50,000	none	NONE	NA
	1/2 interest, 126 S. Franklin St., Wilkes-Barre, PA	$100,001 - $250,000	RENT	$15,001 - $50,000	NA
	law office movable assets	$1,001 - $15,000	none	NONE	NA

SCHEDULE V - LIABILITIES

Name Paul E. Kanjorski

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Guaranty National Bank	Mortgage on 1/2 interest in 126 S. Franklin St., Wilkes-Barre, PA	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Paul E. Kanjorski

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
U.S. Association of Former Members of Congress	April 7-13	Washington, DC -- Berlin, Germany -- Venice, Italy	Y	Y	Y	3 Days
National Italian American Foundation	April 17-23	Rome, Italy -- Vibo Valentia, Italy --Washington, DC	Y	Y	Y	N/A

HAND DELIVERED

2409

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of 8

CONGRESSIONAL RECORD, SENATE (8)

2002 MAY 15 PM 2:54

OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES
(Office Use Only)

Marcia (Marcy) C. Kaptur
(Full Name)

1 Maritime Plaza, Ste 600 Toledo, OH 43615
(Mailing Address)

419-259-7500
Daytime Telephone

MC

Filer Status	☑ Member of the U.S. House of Representatives	State: OH District: 09	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Marcia (Marcy) C. Kaptur	5-10-02

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Marcia (Marcy) C. Kaptur

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Commonweal Magazine	Speech	April 20	$1,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Marcia (Marcy) C. Kaptur

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
1854 Harlan Rd, Toledo, OH 43615	$50,001 - $100,000	RENT - property upkeep and maintenance resulted in a net gain of $309.00 in 2001.	$5,001 - $15,000	
Congressional Federal Credit Union	$1,001 - $15,000	INTEREST - funds accrued in this separate account are from foregone congressional pay (raises) and are distributed annually to charitable causes	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Marcia (Marcy) C. Kaptur

Sky Bank (formerly Standard Federal Bank)	$1,001 - $15,000	INTEREST	$201 - $1,000
Little Flower Credit Union	$1,001 - $15,000	INTEREST	$1 - $200
Key Bank	$1,001 - $15,000	INTEREST	$1 - $200
Charter One Bank	$50,001 - $100,000	INTEREST	$5,001 - $15,000
U.S. Savings Bonds	$50,001 - $100,000	NA	NONE
Transamerica IRA	$15,001 - $50,000	NA	NONE
Schwab Investment Account	$1,001 - $15,000	DIVIDENDS	$1 - $200
DFA US Large Cap Value	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500
DFA US Large Company	$1,001 - $15,000	DIVIDENDS	$1 - $200
DFA US Micro Cap Portfolio	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500
DFA US Small Cap Portfolio	$1,001 - $15,000	DIVIDENDS	$201 - $1,000
DFA 2 Year Global Fixed Income	$1,001 - $15,000	DIVIDENDS	$1 - $200
DFA Global Fixed Income	$1,001 - $15,000	DIVIDENDS	$201 - $1,000
Invesco European Fund	$1,001 - $15,000	NONE	NONE

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Marcia (Marcy) C. Kaptur

	Janus Overseas Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200 (divested in 2001)	
	Mercury Low Duration Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Vanguard Intermed-Term Treasury Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Weitz Partners Value Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name Marcia (Marcy) C. Kaptur

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	DFA Inter Small Cap Value	S	07-31-2001 (proceeds deposited in Schwab Money Market Account)	$1,001 - $15,000
	DFA International Value	S	07-31-2001 (proceeds deposited in Schwab Money Market)	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Marcia (Marcy) C. Kaptur

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Commonweal Magazine, New York, NY	April 20-21	DTW-NYC-DTW (speech)	N	N	N	N/A

SCHEDULE VIII - POSITIONS

Name Marcia (Marcy) C. Kaptur

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	The Anastasia Fund, P.O. Box 2121, Toledo, OH 43603 [a public charity established in the names of Anastasia and Stephen Kaptur]

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:14
(3)
MC
(Office Use Only)

Richard Anthony Keller
(Full Name)

605 E. Robinson Street, Suite 650, Orlando, FL 32801 (407) 872-1962
(Mailing Address) Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: FL District: 08	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rich Keller	5/10/02

2417

Name	Page
Richard Anthony Keller	2 of 3

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$0,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Manulife Financial	Retirement	$6,015

For payments to charity in lieu of honoraria, use Schedule II.

2418

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	BLOCK A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Royalties, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E P, S, E
SP	Examples: SP Mega Corp Stock					X								X										X								
DC	Examples: Simon & Schuster		Indefinite																	Royalties												
JT	Examples: 1st Bank of Paducah, KY accounts						X									X										X				X		
JT	Oakmark Fund - Harris			X													X						X									
JT	N&B Partners Fund			X													X						X									

For additional assets and unearned income, use next page.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 14 AM 11:55

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

(1)

Sue W. Kelly
(Full Name)

187 Jay Street, Katonah, New York, 10536
(Mailing Address)

Daytime Telephone No.
914-232-3744

Filer Status	[X] Member of the U.S. House of Representatives — State: NY District: 19	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	SwKelly	5.14.02

2420

Name Sue W. Kelly | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	William A. Kelly & Co., Inc.	Spouse Salary	NA
	87 Bedford Road Corp.	Spouse Salary	NA
	LMC Corporation, Logan, Utah	Spouse Salary	NA
	Wm Stanton, Attorney at Law	Expert Witness	$2,000

For payments to charity in lieu of honoraria, use Schedule II.

Name	Sue W. Kelly	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
N/A			

This page may be copied if more space is required.

2422

Name Sue W. Kelly | Page 1 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B	Block C	Block D	Block E
SP	SP Maga Corp Stock	X (F)	DIVIDENDS X		P
DC Examples:	Simon & Schuster	Indefinite (B)	INTEREST X		
JT	1st Bank of Paducah, KY accounts	X (F)			
	Amer Int'l Group	X (E)	DIVIDENDS X	II $250	
	Amer Power Conv	X (E)	CAPITAL GAINS X	I None	
	Amgen	X (D)	CAPITAL GAINS X	I None	
	AOL Time Warner	X (D)	CAPITAL GAINS X	I None	
	Bank America	X (E)	DIVIDENDS X	IV $1,001 – $2,500	
	BP Amoco	X (E)	DIVIDENDS X	IV $1,001 – $2,500	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sue W. Kelly

SP DC JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Cisco Systems					X											X				X											
	EMC			X													X				X											
	Exxon Mobil				X									X									X									
	Colgate Smith Kline				X									X									X									
	Intel				X									X								X										
	Merkin				X									X									X									P
	State Street Bank					X								X									X									
	Washington Mutual					X								X										X								
	Wyeth					X								X										X								
	DWS Money Market						X									X								X								
	Enterpool	X																														S
	Muskin Enter.	X																														S
	Texaco	X																														S
	Pretream	X															X				X											S
	Electronic Ter Emergency	X															X				X											S
	101 N. Mayer - Mt. Kisco								X						X												X					
	36 Andersen Rd - Katonah							X							X											X						
	Cove Rd - South Salem						X								X											X						
	10 Waterview Ct - South Salem						X								X											X						

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sue W. Kelly

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Country Bank	C	INTEREST	III	
	Bank of New York	C	INTEREST	III	
	Federal Credit Union	C	INTEREST	III	
	Merrill Lynch CMA	E	INTEREST	IV	
SP	Fleet Bank	C	INTEREST	III	
SP	Union State Bank	D	INTEREST	IV	
SP	Montgomery Nat. Bank	D	INTEREST	IV	
SP	USAA Savings	C	INTEREST	III	
SP	Merrill Lynch CMA	F	INTEREST	V	
SP	Ked Realty Katonah	G	RENT	IV	
SP	ERA Tudor Anthony	A	CAPITAL GAINS	I	S
SP	ERA RBC	G	CAPITAL GAINS	I	P
SP	8 Waterview Ct - South Salem	G	CAPITAL GAINS	I	
SP	Croton River Office Park	H	RENT	VII	
SP	105 Bedford Rd - Katonah	G	RENT	VII	
SP	87 Bedford Rd Corporation	G	RENT	VII	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sue W. Kelly

Page 4 of 4

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	90-92 Maple Ave LLP							X																		X						
SP	River Hill Radiation Corp							X							X													X				
SP	North Salem Center Corp						X										X				X											
SP	Wilh. Kelly & Co., Inc								X								X				X											
SP	Wilh. Kelly Lease, Inc.							X									X				X											
JT	Mass Mutual US Gov't				X															Fosmee	X											
SP	McDonalds			X										X									X									
SP	Amer. Home Products				X									X									X									
SP	AMGEN, Inc				X									X							X											
SP	Butler Mnf.			X										X							X											
SP	General Electric				X									X									X									
SP	Freedom CMA			X												X						X										
SP	Amer. Power Conversion			X										X							X											
SP	EMC Corp			X										X							X											
SP	Electronics for Imaging			X										X							X											
SP	Fannie Mae				X											X							X									
SP	Nokia Corp.			X										X								X										
SP	Proxicom, Inc.	X												X							X											S

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SCHEDULE IV — TRANSACTIONS

Name Sue Kelly

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Nokia Corp.	X			1/23/02		X								
	Inter Pool		X		9/24/99		X								
	Nuslein Enter.		X		7/30/99		X								
	Texaco		X		3/4/99		X								
	Proxicom		X		7/18/01		X								
	Electronics for Imaging		X		12/12/01		X								
SP	IRA Tucker Anthony		X		12/30/01					X					
SP	IRA RBC	X			12/30/01					X					
SP	Proxicom, Inc.		X		7/18/01	X									

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2427

Name Sue W. Kelly | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over-$50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	Mahopac National Bank	Mort. - Croton River Park						X				
SP	Union State Bank	Mort. - 87 Bedford Rd.					X					
SP	Union State Bank	Mort. - 90 Maple Ave.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name Sue W. Kelly | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Republican Main Street Partnership	April 16-19	New York - San Francisco - New York	Y	Y	Y	N
Nat. Assoc. of Mutual Ins. Comp	June 21-22	Washington, D.C - Albany	Y	Y	N	N

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Name	Page
Sue Ann Kelly	1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities, positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
N/A	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO 2002 77-751 (mac)

Use additional sheets if more space is required.

SUE W. KELLY
19TH DISTRICT, NEW YORK

COMMITTEE ON FINANCIAL SERVICES
CHAIRWOMAN, SUBCOMMITTEE ON OVERSIGHT AND INVESTIGATIONS
SUBCOMMITTEE ON FINANCIAL INSTITUTIONS AND CONSUMER CREDIT
SUBCOMMITTEE ON HOUSING AND COMMUNITY OPPORTUNITY

COMMITTEE ON TRANSPORTATION AND INFRASTRUCTURE
SUBCOMMITTEE ON AVIATION
SUBCOMMITTEE ON HIGHWAYS AND TRANSIT
SUBCOMMITTEE ON WATER RESOURCES AND ENVIRONMENT

COMMITTEE ON SMALL BUSINESS
SUBCOMMITTEE ON REGULATORY REFORM AND OVERSIGHT

ASSISTANT MAJORITY WHIP

Congress of the United States
House of Representatives
Washington, DC 20515–3219

PLEASE REPLY TO
☐ 1127 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-5441
☐ 21 DEL MAR STREET, ROOM 8107
FISHKILL, NEW YORK 12524
(845) 897-5200
☐ 110 RALPH CIRCLE DRIVE, ROOM 8301
MT. KISCO, NEW YORK 10549
(914) 241-4342

May 22, 2002

MC
(1)

INSIDE MAIL

LEGISLATIVE RESOURCE CENTER
2002 MAY 24 PM 2:28
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

The Honorable Jeff Trandahl
Clerk of the U.S. House of Representatives
B106 Cannon House Office Building
Washington, D.C. 20515

Re: Amendment to Financial Disclosure Statement for Calendar Year 2001

Dear Clerk Trandahl:

I would like to amend my 2001 Financial Disclosure statement. On Schedule I the income listed as "expert witness fee" should have been attributed to my spouse.

Thank you for your attention to this matter.

Sincerely,

Sue Kelly

Sue Kelly
Member of Congress

PRINTED ON RECYCLED PAPER

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:46
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Mark Raymond Kennedy
(Full Name)

11426 Cty Rd 13SE, Watertown MN 55388
(Mailing Address)

952-955-1882
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State Minnesota District 2	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Mark Kennedy	5/15/02

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Minnesota State Fair	Spouse: judging fee	

For payments to charity in lieu of honoraria, use Schedule II.

Name Mark R. Kennedy | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Fireman's Fund Insurance Company	Speech	July 17, 2001	$500
External Affairs Group of Diageo	Appearance	Mar 14, 2001	$500

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Name Mark R. Kennedy | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts, any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock		X				P
DC	Simon & Schuster	Indefinite			Royalties		
JT	1st Bank of Paducah, KY accounts	X					
	Department 56 Stock			X		X	
	Fidelity Mutual Fund MF		X	X			P
	Fidelity Cash Reserves MF		X	X		X	P, S
	Fidelity Equity Income MF		X	X	X	X	P
	Fidelity Equity Income II MF		X	X	X	X	P
	Fidelity Municipal MF		X	X	X		

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Mark R. Kennedy

Page 5 of 9

SP, DC, JT	Block A: Asset and/or Income Source	Block B: Year-End Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction (P, S, E)
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	
	Fidelity Value (MF)	D	DIVIDENDS	II	
	Janus Overseas (MF)	D	DIVIDENDS	II	
	Northwestern Nat'l Life Insurance	D	INTEREST	II	
	T. Rowe Price International (MF)	E	CAPITAL GAINS	IV	P
	Kennedy for Congress Loan	F	INTEREST	V	
DC	Federated Dept. Stores, Stock	C		I	
DC	Shopko Stores, Stock	C		I	
DC	Vanguard GNMA (MF)	E	DIVIDENDS	V	P
DC	Vanguard Federal Funds (MF)	D	DIVIDENDS	III	
SP	Babson Enterprise II (MF)	D	DIVIDENDS; CAPITAL GAINS	IV	P
SP	Fidelity (MF)	E	DIVIDENDS	III	
SP	Fidelity Municipal (MF)	B	INTEREST	II	
SP	Janus Twenty (MF)	E	DIVIDENDS	III	
JT	US Bank Checking	C	INTEREST	II	
JT	Land - Rented Acrage	E	RENT	III	
	- 11426 Cty Rd 19SE, Watertown MN 55388				
	- 30 acres unimproved land that lease uses to raise crops (corn and soybeans)				

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Name Mark R. Kennedy | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Fidelity Cash Reserves (MF)	X			1-1-01	X									
	Fidelity Cash Reserves MF		X		1-5-01				X						
	Fidelity MF	X			1-5-01			X							
	Fidelity Equity Income MF	X			1-5-01			X							
	Fidelity Equity Income II MF	X			Various	X									
	T. Rowe Price International MF	X			Various	X									
DC	Vanguard GNMA MF	X			Various	X									
SP	Babson Enterprise II	X			Various	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
*	Chase Manhatten Mortgage Corp	mortgage on 11426 Co Rd 13Se Watertown, MN 55388				X						
*	US Bank	Home equity line on 11426 Cty Rd 13 SE, Watertown, MN 55388				X						
*	The rented land listed on Schedule III is a totaling 60 acres (30 acres are rented). Mr. Kennedy's personal residence is located on the 30 acres not rented.	part of a contiguous parcel										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

This page may be copied if more space is required.

Name Mark R. Kennedy	Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
—	—

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
—	—	—

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

Form A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 10: 43
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Patrick J. Kennedy
(Full Name)

210 Farmlands Drive
(Mailing Address)

Portsmouth RI 02871

Daytime Telephone: (202) 225-4911

Filer Status	[X] Member of the U.S. House of Representatives	State: RI District: 01	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If yes, complete and attach Schedule IV.	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [X]	No [ ]
EXEMPTION-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. This Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

CERTIFICATION	SIGNATURE OF REPORTING INDIVIDUAL	DATE (Month/Day/Year)
I CERTIFY that the statements I have made on this form, and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Patrick J Kennedy	5/15/02

2441

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A Asset and/or Income Source	BLOCK B Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rented property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e. one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.	at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For retirement plans that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP, DC, JT *Examples:* SP	Mega Corp. Stock 143 Main St., Dover, Del. 1st Bank of Paducah, KY accounts	$15,001 - $50,000 $250,001 - $500,000 $50,001 - $100,000	Dividends Rent Interest	$201 - $1,000 $1,001 - $2,500 $5,001 - $15,000	P
	Citizens Trust Company Accounts Providence, RI	$15,001 - $50,000	Interest	$1 - $200	
	MFB Northern U.S. Government Money Market Fund Chicago, IL	$1,001 - $15,000	Dividends	$201 - $1,000	
	March 4, 1953 Trust, Rose F. Kennedy, Grantor, FBO Edward M. Kennedy New York, NY	.	Excepted Trust	None	.

2442

SCHEDULE III – ASSETS AND "UNEARNED" INCOME

	August 31, 1959 Trust, Edward M. Kennedy, Grantor, FBO Patrick J. Kennedy New York, NY	.	Excepted Trust	$5,001 - $15,000	.
	Arctic Royalty Limited Partnership (a limited partnership owning oil and gas royalty interests) New York, NY	$50,001 - $100,000	Partnership Income	$15,001 - $50,000	

Name	Page	of
Patrick J. Kennedy	4	5

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and full travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 8-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Do Something (a non profit organization) New York, NY (Attend conference)	8/23	Not Applicable	Y	Y	N	N

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Associate Member	Battleship, Massachusetts
Corporate Member	Bradley Hospital
Member, Honorary Advisory Board	March of Dimes - Rhode Island
Honorary Member	Mental Health Association of Rhode Island
Member, Advisory Board	Big Brothers of Rhode Island
Member, Advisory Board	Providence Music School (not current)
Member, Advisory Board	Rhode Island Special Olympics
Member, Advisory Board	National Coalition of Mental Health Consumers & Providers
Associate Trustee	Joseph P. Kennedy, Jr. Foundation
Limited Partner	Arctic Royalty Limited Partnership
Ex-Officio Trustee	Providence Performing Arts
Honorary Board Member	Recycling for Rhode Island Education

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:13
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

BRIAN KERNS
(Full Name)

3011 WOODBRANDON DANVILLE, IN 46122 (317) 718 8386
(Mailing Address) Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: IN District: 7	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Brian Kerns	05/14/02

2446

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Brian Kerns | Page 1 of 2

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from US Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	Examples:	SP	Mega Corp Stock				X								X										X								P
DC			Simon & Schuster		Indefinite																Royalties									X			
JT			1st Bank of Paducah, KY accounts					X									X									X							
JT	FARM PROPERTY AT 8570 S. STATE RD 63								X												FARM INCOME					X							
JT	FARM PROPERTY AT 5638 W. CR 1000 N.						X														FARM INCOME				X								
JT	PROPERTY LOCATED 8572 S. SR. 63				X											X						X											
JT	PROPERTY LOCATED 5638 W. CR. 1000 N						X									X						X											
JT	AT +T				X										X								X										
JT	LUCENT TECHNOLOGIES			X											X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BRIAN KRONS

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	E TRADE GROUP			X										X								X										
JT	OLD NATIONAL BANCORP						X							X											X							
JT	OFFICE PAYMENTS CORP		X											X							X											
JT	FTD.COM		X											X							X											
JT	FIRST NATIONAL BANK TRUST			X												X						X										

This page may be copied if more space is required.

Name BRIAN KERNS | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	FARM CREDIT SERVICES	MORTGAGE ON 5638 W. CR 1000 N 47850		X								
JT	INDIANA STATE U F C U	MORTGAGE ON 8570 & 8572 S. SR 63 47802				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Page
Brian Kearns	1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD OF GOVERNORS	CAPITOL HILL CLUB (WASHINGTON, D.C.)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mec)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:27
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(5)

Dale Edward Kildee
(Full Name)

516 Kensington Ave.
Flint, MI 48503
(Mailing Address)

202 225 3611
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: MI District: 9	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dale E. Kildee	5-15-02

2451

Name Dale Edward Kildee | Page 1 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Weichert Realty	Spouse Commissions	NA
	Michigan Legislative Retirement System	Legislative Pension	18,041.28

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Dale Edward Kilde e | Page 2 of 4

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B	Block C											Block D											Block E
			A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples:	SP Mega Corp. Stock					X								X																			P
		Simon & Schuster			Indefinite																Royalties				X					X			
		1st Bank of Paducah, KY accounts						X									X									X							
JT	First Union Bank					X											X						X										
JT	Congressional Fed Credit				X												X							X									
SP	Congressional Fed CU-IRA				X												X					NA											
SP	First Union Bank - SEP				X												X					NA											
	Salomon Smith Barney IRA cash account							X													Mandatory Disbursement					X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Dale Edward Kildee

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	Salomon Smith Barney SEP			X												X					NA											

This page may be copied if more space is required.

Name	Page
Dale Edward Kildee	4 of 4

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1-1-77	State of Michigan and self	life and health insurance

GPO 2022 77-791 (rev)

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:41
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(6)

Carolyn Cheeks Kilpatrick
(Full Name)

7445 LaSalle Blvd.
(Mailing Address)

202-225-2261
Daytime Telephone

Detroit, Michigan 48206

Filer Status	[X] Member of the U.S. House of Representatives — State: Michigan District: 15th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Carolyn Cheeks Kilpatrick	05-15-02

2456

Name Carolyn C. Kilpatrick	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Michigan (for services rendered prior to House employment and is not subject to the outside earned income limit)	Legislative Pension	$40,654.56

For payments to charity in lieu of honoraria, use Schedule II.

Name Carolyn C. Kilpatrick | Page 3 of 6

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Zeta Phi Beta Sority Inc.	Speech	March 3, 2001	$150.00
Unity Baptist Church	Speech	May 12, 2001	$100.00
National Black Employee Association of Xerox Corp.	Speech	August 4, 2001	$1,500.00

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Carolyn C. Kilpatrick

Page 4 of 6

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source		Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
			A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock		X	X	X	P
	Examples: Simon & Schuster		Indefinite	Royalties	X	
	Examples: 1st Bank of Paducah, KY accounts		X	X	X	
	Federal Home Loan Mtg. CPR Freddie Notes					
	Fidelity Diversified Intl.		X			
	Fidelity Cash Reserves					
	Fidelity Mid Cap Stock		X			
	Fidelity Fund		X			
	Fidelity Aggressive Growth		X			

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Carolyn C. Kilpatrick

Page 5 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Fidelity OTC Port			X																												
	~~General Motors Accep~~ CPSMARTNTBE 7.350%			X																												
	Congressional Federal Credit Union Savings Account			X												X							X									
	National City Bank			X												X																

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Name Carolyn G. Kilpatrick | Page 6 of 6

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Chinese National Association of Industry and Commerce	Jan 8-13	Wash, D.C.-NY, NY - Taiwan	Y	Y	N	N
	AT&T/Microsoft/American Airlines	Mar. 15-16	Dulles, VA-LA, CA-San Jose, CA - (bus) -Menlow Park, CA-Redwood City, CA-Monterey, CA	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 23 PM 2:30
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

7
MC

Ronald James Kind
(Full Name)

3061 Edgewater Lane
(Mailing Address)

608-779-9750
Daytime Telephone

La Crosse, WI 54603

Filer Status	☒ Member of the U.S. House of Representatives — State: WI District: 3rd	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ronald J. Kind	5/12/02

2462

Name Ronald James Kind | Page 2 of 2

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$5,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U S House of Representatives	Salary	144,783–
	State of Wisconsin – Director of State Courts	Spouse Salary	19,410–
	Self Employed Court Reporter	Spouse Salary – Form 1099 gross	4055–

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Ronald James Kind | Page 3 of 7

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

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If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (Dividends; Rent; Interest; Capital Gains; Excepted Trust; Qualified Blind Trust; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP	Mega Corp. Stock		X (Dividends)		
DC	Simon & Schuster	Indefinite		X (Interest)	P
JT	1st Bank of Paducah, KY account		Royalties		
JT	Rental Property 219 Pearl Street, La Crosse, WI	X (D)	X (Rent)	X (VII)	
SP	Putnam Fund - IRA	X (C)	X (Dividends)	X (I)	
	Wis Det Comp Program	X (C)	X (Dividends)	X (I)	
SP	Wis Det Comp Program	X (C)	X (Dividends)	X (I)	
	Investment Club - La Crosse, WI	X (C)	X (Dividends)	X (I)	
	Janus Fund - IRA	X (C)	X (Dividends)	X (I)	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ronald James Kind

Page 4 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Janus Fund - Roth IRA			X										X								X										
SP	Janus Fund - Roth IRA			X										X								X										
	Govt. Thrift Plan					X								X											X							
JT	Cashmark Int'l Mut Fd.			X										X							X											P 7/02
DC	WI Elvest.			X										X								X										
DC	Janus Ed. IRA			X										X								X										
DC	WI Elvest			X										X								X										
DC	Putnam - Mut. Fd			X										X								X										
DC	Janus. Mut. Fd			X										X								X										
DC	Janus Ed. IRA		X	X										X								X										
DC	Mass. Investors			X										X								X										
DC	Janus - Mut. Fd.			X										X								X										

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SCHEDULE IV — TRANSACTIONS

Name Ronald James Kind | Page 5 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	James Worldwide Mutual Fund		X		12-7-01	X									

This page may be copied if more space is required.

Name Ronald James Kind | Page 6 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Wells Fargo Bank, LaCrosse, WI	Mortgage on LaCrosse, WI Rental Street			X							

SCHEDULE VI — GIFTS None

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	Page
Ronald James Kind	7 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Contra Council on Alcohol, Section 501 (c)(3) organization
Director	Boys and Girls Club, Section 501 (c)(3) organization
Alumni Harvard Interviewer	Harvard University and Radcliffe University

SCHEDULE IX — AGREEMENTS N/A None

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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(5)

Rep. Peter T. King
(Full Name)

1442 Roth Road
(Mailing Address)

Seaford, NY 11783

Daytime Telephone: (202) 225-7896

Filer Status	[X] Member of the U.S. House of Representatives	State: New York District: Third	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Peter T. King	4/29/02

Name	Rep. Peter T. King	Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Nassau County, New York	Spouse Salary	NA
	State of New York	Pension	$38,422
	University Press of America, Lanham, MD 20706	Book Royalties	$ 3,196

For payments to charity in lieu of honoraria, use Schedule II.

Name Rep. Peter T. King | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,001	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	SP Mega Corp Stock		X				P
DC	*Examples* Simon & Schuster	Indefinite					
JT	1st Bank of Paducah, KY accounts		X		Royalties		X		
JT	Chase Bank				X				
SP	New York State Pension Program		X			X			

For additional assets and unearned income, use next page.

Name	Rep. Peter T. King	Page 4 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Friends of Sinn Fein	May 25-31	NYC-Dublin, Ireland-NYC	Y	Y	Y	1 day
	Chinese National Association for Industry & Commerce	Aug 27-30	NYC-Taipei, Taiwan-NYC	Y	Y	Y	N

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Name	Page 5 of
Rep. Peter T. King	

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Notre Dame Law Association (Alumni Association of Notre Dame Law School)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2004 — 77-791 (web)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page

Jack Kingston
(Full Name)

1034 Longworth HOB Washington, DC 20515
(Mailing Address)

202/225-5831
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: GA District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jack Kingston	5-15-02

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Jack Kingston

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Politically Incorrect	TV Show	Apr 2, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jack Kingston

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Palmer & Cay/Carswell Stock		Capital Gains and Dividends	$100,001 - $1,000,000	
	Courtland Reserves MMA		Interest	$201 - $1,000	
	Imperial Holly		Dividends	$201 - $1,000	
	111 Jacqueline Dr/Savannah, GA		Rent	$5,001 - $15,000	
	5 Island Drive/Savannah, GA		Rent	$5,001 - $15,000	
	8424 Ferguson Ave/Savannah, GA		Rent	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jack Kingston

	108 18th St/Tybee, GA		Rent	$5,001 - $15,000	
	American Capitol Venture IRA		Interest	NONE	
	American Capitol Venture IRA		Interest	NONE	
	Strips-TINT Govt Securities		Interest	$201 - $1,000	
	Roswell, GA G/O Dtd 6/1/88		Interest	$201 - $1,000	
	Gwinnett City, GA School District		Interest	$201 - $1,000	
	Cats Series S Zero Coupon Govt Bond Corporate Bonds		Interest	$201 - $1,000	
	CATS Zero Coupon Bond		Interest	$201 - $1,000	
	Europe Fund, Inc. Stock Fund Merrill Lynch		Dividends	$201 - $1,000	
	CATS Zero Coupon Bonds/M Lynch		Interest	$201 - $1,000	
	Global Income Fund-Bond (M Lynch)		Interest	$201 - $1,000	
	CATS Series A Coupon (I Johnson)		Interest	$201 - $1,000	
	TIGER Coupon Book		Interest	$201 - $1,000	
	Franklin Custodian Utility (Stock Mutual Fund-M Lynch)		Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jack Kingston

	CATS Zero Coupon Bonds		Interest	NONE	
	State of GA Retirement Plan		N/A	NONE	
	Palmer & Cay Carswell 401K		Interest	NONE	
	GA Develop Authority Municipal Bond-Marietta, GA		Interest	$201 - $1,000	
	STRIPS Zero Coupon Govt Bond		Interest	NONE	
	Putnam Municipal Stocks		Interest	$201 - $1,000	

SCHEDULE V - LIABILITIES .

Name Jack Kingston

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Mr Newman Hall, Madison, TN	Mortgage 111 Jacqueline Dr/Savannah, GA	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Jack Kingston

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Politically Incorrect	Apr 9-10	Savh, GA- Los Angeles, CA, SAVH, GA	Y	Y	Y	None
US-Asia Foundation	Jun 30-Jul 9	Wash., DC, China, Thailand, DC	Y	Y	Y	2 Days
Restoration Weekend	Sept 1-Sept 3	Savh, GA-Denver, CO , SAVH, GA	Y	Y	Y	2 Days
MAPPS Int'l	Jul 22	Savh, GA-Brunswick-Savh, GA	Y	Y	Y	NONE

SCHEDULE IX - AGREEMENTS

Name Jack Kingston

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
Jan 5, 1993	J Kingston & State of GA	Health Care Plan

JACK KINGSTON
1st District, Georgia

WASHINGTON OFFICE
1034 Longworth Building
Washington, DC 20515
(202) 225-5831
(202) 226-2269 FAX

BRUNSWICK OFFICE
Federal Building, Room 304
805 Gloucester Street
Brunswick, GA 31520
(912) 265-9010
(912) 265-9013 FAX

Congress of the United States
House of Representatives

Committee On Appropriations

SAVANNAH OFFICE
The Enterprise Building
6605 Abercorn St., Suite 102
Savannah, GA 31405
(912) 352-0101
(912) 352-0105 FAX

STATESBORO OFFICE
Federal Building, Room 220
Statesboro, GA 30458
(912) 489-8797
(912) 764-8549 FAX

June 13, 2002

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 PM 5:47
U.S. HOUSE OF REPRESENTATIVES

MC

HAND DELIVERED

Clerk of the House
H154, The Capitol
Washington, DC 20515

To Whom It Concerns:

Attached is an amended Financial Disclosure for 2001. Schedule III, Block B is now completed.

If have filed the original amendment with the Legislative Resource Center.

Sincerely,

Jack Kingston

Jack Kingston
Member of Congress

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LEGISLATIVE RESOURCE CENTER

2002 JUN 13 PM 5:47

OFFICE OF THE CLERK

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Jack Kingston
(Full Name)

1034 Longworth HOB Washington, DC 20515
(Mailing Address)

202/225-5831
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: GA District: 01	☐ Officer Or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jack Kingston	6-13-02

2483

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jack Kingston

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Palmer & Cay/Carswell Stock	$1,000,001 - $5,000,000	Capital Gains and Dividends	$100,001 - $1,000,000	
	Courtland Reserves MMA	$1,001 - $15,000	Interest	$201 - $1,000	
	Imperial Holly	$1,001-$15,000	Dividends	$201 - $1,000	
	111 Jacqueline Dr/Savannah, GA	$50,001-$100,000	Rent	$5,001 - $15,000	
	5 Island Drive/Savannah, GA	$100,001-$250,000	Rent	$5,001 - $15,000	
	8424 Ferguson Ave/Savannah, GA	$15,001-$50,000	Rent	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jack Kingston

	108 18th St/Tybee, GA	$100,001-$250,000	Rent	$5,001 - $15,000	
	American Capitol Venture IRA	$15,001-$50,000	Interest	NONE	
	American Capitol Venture IRA	$15,001-$50,000	Interest	NONE	
	Strips-TINT Govt Securities	$1,001-$15,000	Interest	$201 - $1,000	
	Roswell, GA G/O Dtd 6/1/88	$15,001-$50,000	Interest	$201 - $1,000	
	Gwinnett City, GA School District	$15,001-$50,000	Interest	$201 - $1,000	
	Cats Series S Zero Coupon Govt Bond Corporate Bonds	$1,001-$15,000	Interest	$201 - $1,000	
	CATS Zero Coupon Bond	$1,001-$15,000	Interest	$201 - $1,000	
	Europe Fund, Inc. Stock Fund Merrill Lynch	$1,001-$15,000	Dividends	$201 - $1,000	
	CATS Zero Coupon Bonds/M Lynch	$1,001-$15,000	Interest	$201 - $1,000	
	Global Income Fund-Bond (M Lynch)	$1,001-$15,000	Interest	$201 - $1,000	
	CATS Series A Coupon (I Johnson)	$1,001-$15,000	Interest	$201 - $1,000	
	TIGER Coupon Book	$1,001-$15,000	Interest	$201 - $1,000	
	Franklin Custodian Utility (Stock Mutual Fund-M Lynch)	$1,001-$15,000	Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jack Kingston

	CATS Zero Coupon Bonds	$1;001-$15,000	Interest	NONE	
	State of GA Retirement Plan	$1,001-$15,000	N/A	NONE	
	Palmer & Cay Carswell 401K	$250;001 $500,000	Interest	NONE	
	GA Develop Authority Municipal Bond-Marietta, GA	$1,001-$15,000	Interest	$201 - $1,000	
	STRIPS Zero Coupon Govt Bond	$1,001-$15,000	Interest	NONE	
	Putnam Municipal Stocks	$1,001-$15,000	Interest	$201 - $1,000	

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (B)
2002 MAY 15 PM 2:09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) MC

MARK STEVEN KIRK
(Full Name)

275 WHISTLER ROAD
(Mailing Address)

(847) 940-0202
Daytime Telephone:

HIGHLAND PARK IL 60035

Filer Status	[X] Member of the U.S. House of Representatives — State: ILLINOIS District: 10	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mark Kirk	May 15, 2002

Name MARK STEVEN KIRK	Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
10TH DISTRICT WOMEN'S REPUBLICAN CLUB*	SPEECH	10/11/01	200
LAKE FOREST/LAKE BLUFF WOMEN'S REPUBLICAN CLUB**	SPEECH	10/18/01	200

* DONATED TO NORTH SHORE SENIOR CENTER

** DONATED TO BLACKNAVY VETERANS OF GREAT LAKES MEMORIAL FOUNDATION

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name MARK STEVEN KIRK | Page ___ of ___

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you co choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: Transaction (P, S, E)
SP	Examples:	SP	Mega Corp Stock				X								X										X								P
DC			Simon & Schuster		Indefinite																Royalties								X				
JT			1st Bank of Paducah, KY accounts					X									X										X						
			FIDELITY CONTRAFUND (IRA)			X									X			X				N/A											
			NW MUTUAL LIFE (IRA)			X									X			X				N/A											
			FIDELITY GROWTH		X										X			X				X											
			MET LIFE POLICY			X									X			X					X										
SP			NEWFIELD BANK ACCT.					X							X			X								X							
SP			KAUFMAN FUND (IRA)			X									X			X							X								

For additional assets and unearned income, use next page.

Name MARK STEVEN KIRK | Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	GRADUATE LOAN CENTER	STUDENT LOANS		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name MARK STEVEN KIRK | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	PROJECT INTERCHANGE/ AMERICAN JEWISH COMMITTEE	11/17-11/25	CHICAGO-ISRAEL-CHICAGO	Y	Y	Y	N

This page may be copied if more space is required.

Name MARK STEVEN KIRK	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	POPULATION RESOURCE CENTER

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77–791 (mac)

Use additional sheets if more space is required.

MARK STEVEN KIRK
10TH DISTRICT, ILLINOIS

COMMITTEES
BUDGET

TRANSPORTATION AND INFRASTRUCTURE
SUBCOMMITTEES
AVIATION
HIGHWAYS AND TRANSIT

ARMED SERVICES
SUBCOMMITTEES
MILITARY PROCUREMENT
MILITARY PERSONNEL

Congress of the United States
House of Representatives
Washington, DC 20515–1310

WASHINGTON OFFICE
1631 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-4835
FAX: (202) 225-0837
Rep_Kirk@mail.house.gov

DEERFIELD OFFICE
102 WILMOT ROAD, SUITE 200
DEERFIELD, IL 60015
(847) 940-0202
FAX: (847) 940-7143

WAUKEGAN OFFICE
301 WASHINGTON STREET
WAUKEGAN, IL 60085
(847) 662-0101
FAX: (847) 662-7513

CONGRESSIONAL
HUMAN RIGHTS CAUCUS

June 11, 2002

MC

(4)

Committee on Standards of Official Conduct
United States House of Representatives
HT 2 Capitol Building
Washington, DC 20515

Dear Sir/Madame,

Attached please find an amendment to my Year 2001 Member Financial Disclosure form. My original form did not include the rental and disposition of my former personal residence in July of 2001. I regret this omission and will be happy to provide any other information should it be needed by the Committee. Thank you.

Sincerely,

Mark Steven Kirk
Member of Congress

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2002 JUN 12 PM 2:09

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 12 PM 2:09
OFFICE OF THE CLERK
(Office Use Only)

MARK STEVEN KIRK
(Full Name)

275 WHISTLER RD
(Mailing Address)

(847) 940-0202
Daytime Telephone

HIGHLAND PARK IL 60035

Filer Status	☒ Member of the U.S. House of Representatives	State: ILLINOIS District: 10	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☒ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☐

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mark Kirk	Jun 12, 2002

2494

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT — *Examples:* SP	Mega Corp. Stock	F	DIVIDENDS: X	VI	P
DC	Simon & Schuster	Indefinite	Other Type of Income: Royalties	IX	
JT	1st Bank of Paducah, KY accounts	F	INTEREST: X	VI	
	1031 PAPERMILL CT. NW WASHINGTON, DC	G	DIVIDENDS: X	VI	

For additional assets and unearned income, use next page.

2495

SCHEDULE IV — TRANSACTIONS

Name MARK STEVEN KIRK

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10-12-01		X								
	1031 PAPERMILL CT, NW, WASHINGTON, DC		X		07/28/01					X					

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(24) HAND DELIVERED

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OFFICE OF THE CLERK U.S. HOUSE OF REPRESENTATIVES

MC

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

Gerald D. Kleczka
(Full Name)

3150A South 12th St Milwaukee, WI 53215
(Mailing Address)

414-297-1140
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: WI District: 04	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Gerald D. Kleczka	May 3, 2002

2497

SCHEDULE I - EARNED INCOME

Name Gerald D. Kleczka

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
George Washington Medical Faculty Associates, Inc.	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gerald D. Kleczka

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Lincoln State Bank (Formerly Lincoln Community Savings) Milwaukee, WI	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Congressional Fed Credit Union, DC	$1,001 - $15,000	INTEREST	$1 - $200	
JT	North Shore Bank, Milwaukee, WI	$1,001 - $15,000	INTEREST	$1 - $200	
	Congressional Fed Credit Union, DC	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Congressional Fed Credit Union, DC	$15,001 - $50,000	INTEREST	$201 - $1,000	
	Dean Witter Nicholas Applegate Captial Management (attached)	None	CAPITAL GAINS/DIVIDENDS	$15,001 - $50,000	E

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gerald D. Kleczka

	Dean Witter Active Assets Acct	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Vanguard Index Trust	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1 - $200	
SP	Legg Mason Value Trust	$15,001 - $50,000	CAPITAL GAINS//DIVIDENDS	$1 - $200	
	Marshall & Illsely Bank Stock	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
	Kohls Stock	$1,001 - $15,000		NONE	
SP	Marisco Growth & Income Fund	$1,001 - $15,000	CAPITAL GAINS/DIVIDENDS	$1 - $200	
	Walgreen Co., Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Harley Davidson Inc., Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wisconsin Retirement System	$100,001 - $250,000	INTEREST	N/A	N/A
SP	TIAA CREFF Retirement Acct	$50,001 - $100,000	INTEREST	N/A	N/A
	Dell Computer Stock	$1,001 - $15,000		NONE	P
	US Bancorp (formerly Firstar) Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Home Depot, Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gerald D Kleczka

	Janus Growth & Income Fund IRA	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	N/A	
	Janus Twenty Fund, IRA	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	N/A	
	Janus Global Tech Fund	$1,001 - $15,000		NONE	
	General Electric Co., Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	America Online Inc., Stock	$1,001 - $15,000		NONE	
	America Online Inc., Stock	$1,001 - $15,000		NONE	P
	Cisco Systems Inc., Stock	$1,001 - $15,000		NONE	
	Microsoft Corp., Stock	$1,001 - $15,000		NONE	
	Oracle Corp., Stock	$1,001 - $15,000		NONE	
	Yahoo Inc., Stock	$1,001 - $15,000		NONE	P
	Janus Stratvalue Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1 - $200	
SP	Janus Growth & Income Fund	$1,001 - $15,000	CAPITAL GAINS/DIVIDENDS	$1 - $200	
	Telephone & Data Corp. Bond	$1,001 - $15,000		NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gerald D. Kleczka

	Brandes Investment Partners, Inc. (attached)	$50,001 - $100,000	CAPITAL GAINS/DIVIDENDS	$1 - $200	E
	GT ATL Pacific Tea Co	$1,001 - $15,000		NONE	PS

SCHEDULE IV - TRANSACTIONS

Name Gerald D. Kleczka

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Dean Witter Nicholas Applegate (attached)	E	11-21-01	$50,001 - $100,000
	DW-Brandes Investment Partners, Inc. (attached)	E	11-21-01	$50,001 - $100,000
	Dell Computer Stock	P	01-24-01	$1,001 - $15,000
	America Online Inc., Stock	P	11-27-01	$1,001 - $15,000
	Yahoo Inc., Stock	P	01-24-01	$1,001 - $15,000
	Telephone & Data Corp. Bond	P	11-28-01	$1,001 - $15,000
	GT ATL&Pacific Tea Co.,Stock	PS	01-29-01 01-29-01	$1,001 - $15,000

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT

FOR YEAR ENDING DECEMBER 31, 2001

JIM MOODY
MORGAN STANLEY
1737 KING STREET SUITE 100
ALEXANDRIA, VA 22314
(703) 535-8300

Your Investment Manager:
BRANDES INVESTMENT PARTNERS, INC.

Account Number
630 027908 056

AAA Customer Service
1-800-869-3323

GERALD D KLECZKA 000959
4200 CHRISTINE PLACE
ALEXANDRIA VA 22311-1109 630

Asset Summary

	Value	% of Assets
Money Market Funds	$3,727.20	4.84
Stocks	72,473.28	95.2
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$76,200.48	100.02
Cash	13.80	
Total Asset Value	$76,214.28	

Income Summary

	Year to Date
Money Market Funds	$30.78
Stocks	43.85
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	0.00
Certificates of Deposit	0.00
Other	0.00
Total Income	$74.63
Taxable Income	$74.63
Tax Exempt Income	$0.00

Activity Summary

Total Asset Value January 01, 2001		$0.00
Cash/Money Market Activity for 2001		
Credits To Your Account		
Dividend and Interest	74.63	
Deposits	33,432.20	
Sales Proceeds/Redemptions	42,119.15	
Other Credits	12,846.91	
Total Credits	88,472.89	
Debits To Your Account		
Checking	0.00	
Debit Card	0.00	
Withdrawals	-52.76	
Funds to Purchase Securities	-71,693.42	
Other Debits	-12,979.77	
Total Debits	-84,730.95	
Changes in Asset Value for 2001		
Value of Priced Assets 1/01/01	$0.00	
Securities Bought	71,698.42	
Securities Received	42,241.12	
Securities Sold/Redeemed	-42,119.15	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	652.89	
Value of Priced Assets 12/31/01	72,473.28	
Net Change In Asset Value		72,473.28
Total Asset Value as of December 31, 2001		$76,214.28

2504

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	13.80	---	---
ACTIVE ASSETS MONEY TRUST	3,727.20	4.8%	74
Total Cash and Money Market Funds	$3,741.00	4.8%	074

Net Change Since January 1, 2001 $3,741.94

Annualized 30 Day Yields	
Active Assets Money Trust	2.01%
Active Assets Govt. Sec. Tr.	1.69%
Active Assets California Tax Free	0.86%
Active Assets Tax Free Trust	1.17%
Active Assets Insured Account	1.84%
Active Assets Deposit Account	1.84%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
70	ABN AMRO HLDGS N V	16.28	1,139.60	1.5%	46	4.05%	ABN	
86	ALCATEL ADS	16.55	1,406.75	1.8%	30	2.18%	ALA	
45	ALLSTATE CORP	33.70	1,516.50	2.0%	34	2.25%	ALL	Next Dividend Payable 01/02/02
90	AMERICA MOVIL SA DE CV ADR L	19.48	1,753.20	2.3%	7	.42%	AMX	Next Dividend Payable 01/04/02
75	ARCHER DANIELS MIDLAND	14.38	1,076.25	1.4%	15	1.39%	ADM	Next Dividend Payable 03/02
60	BAE SYS PLC SPON ADR	18.00	1,080.18	1.4%	29	2.73%	BAESY	
128	BANCO BILBAO VIZ ARG SA ADS	12.45	1,556.25	2.0%	35	2.26%	BBV	
30	BANK ONE CORP	39.05	1,171.50	1.5%	25	2.15%	ONE	Next Dividend Payable 01/01/02
30	BASF AG SP ADR	37.91	1,137.30	1.5%	0	0.00%	BF	
45	BOEING CO	38.78	1,745.10	2.3%	30	1.75%	BA	Next Dividend Payable 03/02
30	BRASIL TELECOM PART SA ADS	41.48	1,244.40	1.6%	24	1.95%	BRP	
70	BRITISH AMER TOB SPON ADR	17.00	1,190.00	1.6%	58	4.90%	BTI	
65	DEUTSCHE TELEKOM AG 1 ORD 1ADS	16.90	1,098.50	1.4%	25	2.31%	DT	
35	DIAGEO PLC SPON ADR NEW	46.27	1,619.45	2.1%	45	2.78%	DEO	
35	DU PONT EI DE NEMOURS & CO	42.51	1,487.85	2.0%	49	3.29%	DD	Next Dividend Payable 03/02
60	EASTMAN KODAK CO	29.43	1,765.80	2.3%	108	6.11%	EK	Next Dividend Payable 03/02
20	ENI SPA AMER DEP RCPT	61.96	1,239.20	1.6%	26	2.12%	E	
35	EXELON CORP	47.85	1,675.80	2.2%	59	3.52%	EXC	Next Dividend Payable 03/02
20	GENERAL MOTORS CORP	48.60	972.00	1.3%	40	4.11%	GM	Next Dividend Payable 03/02
50	GOODYEAR TIRE & RUBBER	23.81	1,190.50	1.6%	24	2.01%	GT	Next Dividend Payable 03/02
50	HEWLETT PACKARD	20.54	1,027.00	1.3%	16	1.55%	HWP	Next Dividend Payable 01/09/02
25	HITACHI LD COM NEW ADR	73.19	1,829.75	2.4%	14	.79%	HIT	
20	HSBC HOLDINGS PLC SPON ADR NEW	59.71	1,194.20	1.6%	52	4.41%	HBC	
25	LOEWS CORP DELAWARE	55.38	1,384.50	1.8%	15	1.08%	LTR	Next Dividend Payable 03/02
40	MC DONALDS CORP	26.47	1,058.80	1.4%	9	.85%	MCD	Next Dividend Payable 12/02
15	MERCK & CO	58.80	882.00	1.2%	21	2.38%	MRK	Next Dividend Payable 01/02/02
220	MITSUBISHI TOKYO FIN GP ADR	6.47	1,423.40	1.9%	13	.94%	MTF	
70	MOTOROLA INC	15.02	1,051.40	1.4%	11	1.06%	MOT	Next Dividend Payable 01/15/02
95	NIPPON TELEGRAPH&TELEPHONE ADS	16.20	1,539.00	2.0%	16	1.04%	NTT	
10	NORTHROP GRUMMAN CP(HLDG CO)	100.81	1,008.10	1.3%	16	1.58%	NOC	Next Dividend Payable 03/02

2505

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
030 027908 056

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
55	PETROLEO BRASILEIRO SA ADR	22 23	1,222.65	1.6%	79	6.48%	PBR'A	
60	PG&E CORPORATION	19.24	1,154.40	1.5%	0	0.00%	PCG	
30	PHILIP MORRIS CO INC	45 85	1,375.50	1.8%	69	5.05%	MO	Next Dividend Payable 01/10/02
55	PRUDENTIAL FINANCIAL INC	33.19	1,825.45	2.4%	0	0.00%	PRU	
35	RAYTHEON CO (NEW)	32.47	1,136.45	1.5%	28	2.46%	RTN	Next Dividend Payable 01/30/02
105	REPSOL YPF SA ADR	14 53	1,525.65	2.0%	38	2.52%	REP	
40	SBC COMMUNICATIONS	39 17	1,566.80	2.1%	41	2.61%	SBC	Next Dividend Payable 02/02
65	SCHERING PLOUGH CORP	35 81	2,327.65	3 1%	41	1.76%	SGP	Next Dividend Payable 02/02
40	SHERWIN WILLIAMS COMPANY OHIO	27 50	1,100.00	1.4%	23	2.10%	SHW	Next Dividend Payable 02/02
50	SPRINT CP(FON GP) SERS 1	20.08	1,004.00	1.3%	25	2.49%	FON	Next Dividend Payable 03/02
45	TELECOMUNICACOES BRAS SA ADS	40.00	1,800.00	2.4%	30	1.71%	TBH	Next Dividend Payable 01/11/02
45	TELEFONICA DE ESPANA SA ADR	40.08	1,803.60	2.4%	0	0.00%	TEF	
45	TELEFONOS DE MX SA DE CV ADR	35.02	1,575.90	2.1%	44	2.80%	TMX	
30	TOKIO MARINE & FIRE ADR NEW	36.60	1,098.00	1.4%	8	.78%	TKIOY	
55	TOYS R US	20.74	1,140.70	1.5%	0	0.00%	TOY	
45	UNILEVER PLC (NEW) ADS	33.27	1,497.15	2.0%	34	2.31%	UL	
125	UNISYS CORP	12.54	1,567.50	2.1%	0	0.00%	UIS	
30	UST INC	35.00	1,050.00	1.4%	55	5.25%	UST	Next Dividend Payable 03/02
25	VERIZON COMMUNICATIONS	47.46	1,186.50	1.6%	38	3.24%	VZ	Next Dividend Payable 02/02
55	WALT DISNEY CO HLDG CO	20.72	1,139.60	1.5%	11	1.01%	DIS	Next Dividend Payable 12/02
40	WASTE MGMT INC (DELA)	31.91	1,276.40	1.7%	0	.03%	WMI	Next Dividend Payable 10/02
180	XEROX CORP	10.42	1,875.60	2.4%	0	0.00%	XRX	
75	ZURICH FINANCIAL SVC	23.46	1,759 50	2.3%	60	3 43%	ZFSVY	
Total Stocks			72,473.28	95.2%	61,529	2.11%		
Net Change Since January 1, 2001			72,473.28					

Asset Summary	Value	Est Yrly Income
Total Asset Value	76,219.28	61,604
Total Net Change In Priced Assets Since January 1, 2001	72,473.28	

2506

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027808 058

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS MONEY TRUST	30.78	Money Market Funds
Dividend	SPRINT CP(FON GP) SERS 1	6.25	Stocks
Dividend	TELEFONOS DE MX SA DE CV ADR	12.25	Stocks
Dividend	UST INC	18.80	Stocks
Dividend	WALT DISNEY CO HLDG CO	11.55	Stocks
	Total Stocks	$43.05	
	Total Dividends and Interest	$74.83	

Deposits

Date	Activity	Description	Amount	Additional Information
11-21	Transfer	FUNDS TRANSFERRED	0.69	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transfer	FUNDS TRANSFERRED	33,325.99	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-29	Transfer	FUNDS TRANSFERRED	105.52	PER LETTER OF AUTHORIZATION FROM 630-097643-0
		Total Deposits	$33,432.20	

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-03	12-06	Sold	14	AES CORP	15.8900	222.45	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	21	ALLERGAN INC	75.2400	1,579.98	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	22	ANDRX CP-ANDRX GR	73.0600	1,607.26	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	30	APPLERA CP-APPLIED BIOSYS GP	31.3900	941.66	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	62	BAKER HUGHES INC	34	2,107.92	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	22	BEA SYSTEMS INC	16.6800	366.94	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	11	BROCADE	31.5300	344.61	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	6	CABLEVISION SYS RNBW MEDIA	20.8500	125.09	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	12	CABLEVISION SYSTEMS CORP	42.9500	515.38	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	56	CALPINE CORP	19.6600	1,100.92	SUBJ. TO 30.5% WITHHOLDING TAX

2507

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GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-03	12-06	Sold	26	CAPITAL ONE FINANCIAL CORP	48.9600	1,272.91	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	92	CHARTER COMM CLASS A	15.0300	1,382.71	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	18	CHECK POINT SOFTWARE TECH LTD	37.0400	666.69	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	13	CIENA CORPORATION	16.9900	220.86	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	100	COMPUTER ASSOC INTL INC	32.4500	3,244.89	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	24	COMVERSE TECHNOLOGY INC	20.7300	497.50	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	49	EOG RESOURCES INC	35.8100	1,754.63	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	26	FOREST LABORATORIES	70.2900	1,827.47	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	21	GOLDEN WEST FINCL CORP DEL	50.7500	1,065.71	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	30	I D E C PHARMACEUTICALS	69.5600	2,098.13	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	100	INTEL CORP	32.2500	3,224.89	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	15	JDS UNIPHASE CORP	9.7200	145.79	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	39	JOHNSON & JOHNSON	58.4300	2,278.69	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	15	MERCURY INTERACTIVE CORP	29.6200	444.28	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	14	NIKE INC B	52.8200	739.45	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	23	NORTHERN TRUST CORP	56.7900	1,306.12	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	25	PAYCHEX INC	35	874.97	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	38	PERKIN ELMER INC	27.0300	1,027.10	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	100	SIEBEL SYSTEMS INC	21.4600	2,148.92	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	30	SOUTHWEST AIRLINES	18.4200	552.58	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	100	SUN MICROSYSTEMS INC	13.6100	1,360.95	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	53	TENET HEALTHCARE CORP	60.0300	2,281.06	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	26	UNITEDHEALTH GP INC	71.3000	1,853.73	SUBJ. TO 30.5% WITHHOLDING TAX
12-03	12-06	Sold	11	USA EDUCATION	85.4500	939.91	SUBJ. TO 30.5% WITHHOLDING TAX
				Total Sales Proceeds/Redemptions		$42,119.15	

Other Credits

Date	Activity	Description	Amount	Additional Information
12-06	Tax Adjustment	I D E C PHARMACEUTICALS	639.95	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	CAPITAL ONE FINANCIAL CORP	388.24	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	PERKIN ELMER INC	313.27	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	AES CORP	67.85	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	UNITEDHEALTH GP INC	565.39	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	CIENA CORPORATION	67.36	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	JDS UNIPHASE CORP	44.47	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	CHARTER COMM CLASS A	421.73	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	SIEBEL SYSTEMS INC	654.61	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	COMVERSE TECHNOLOGY INC	151.74	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	USA EDUCATION	286.67	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	TENET HEALTHCARE CORP	695.72	ADJ 30.5% BACKUP WITHHOLDING
12-06	Tax Adjustment	CHECK POINT SOFTWARE TECH LTD	203.34	ADJ 30.5% BACKUP WITHHOLDING

2508

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027808 056

Other Credits	Date	Activity	Description	Amount	Additional Information
	12-06	Tax Adjustment	BROCADE	105.11	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	MERCURY INTERACTIVE CORP	135.51	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	EOG RESOURCES INC	535.16	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	CALPINE CORP	335.78	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	BEA SYSTEMS INC	111.92	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	APPLERA CP-APPLIED BIOSYS GP	287.21	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	ANDRX CP-ANDRX GR	490.21	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	CABLEVISION SYS RNBW MEDIA	36.15	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	ALLERGAN INC	481.89	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	BAKER HUGHES INC	642.92	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	CABLEVISION SYSTEMS CORP	157.19	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	COMPUTER ASSOC INTL INC	989.69	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	FOREST LABORATORIES	557.38	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	GOLDEN WEST FINCL CORP DEL	325.04	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	INTEL CORP	983.59	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	JOHNSON & JOHNSON	695.00	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	NIKE INC B	225.55	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	NORTHERN TRUST CORP	398.37	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	PAYCHEX INC	266.87	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	SOUTHWEST AIRLINES	168.54	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	SUN MICROSYSTEMS INC	415.09	ADJ 30.5% BACKUP WITHHOLDING
	12-06	Tax Adjustment	1281 FEE PASS THROUGH	0.54	
	12-14	Journal In			
			Total Other Credits	12,846.91	

Total Credits To Your Account 88,472.89

DEBITS TO YOUR ACCOUNT

Withdrawal	Date	Activity	Description	Amount	Additional Information
	11-27	Transfer	FUNDS TRANSFERRED	52.76	PER LETTER OF AUTHORIZATION TO 630-097643-0
			Total Withdrawals	-52.76	

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2509

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT

FOR YEAR ENDING DECEMBER 31, 2001

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027808 058

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-03	12-06	Bought	70	ABN AMRO HLDGS N V	15.7696	1,103.17	
12-03	12-06	Bought	85	ALCATEL ADS	17.7665	1,509.30	
12-03	12-06	Bought	45	ALLSTATE CORP	34.7376	1,563.19	
12-03	12-06	Bought	90	AMERICA MOVIL SA DE CV ADR L	17.1892	1,547.03	
12-03	12-06	Bought	75	ARCHER DANIELS MIDLAND	15.4796	1,160.97	
12-03	12-06	Bought	60	BAE SYS PLC SPON ADR	18.3000	1,098.00	
12-03	12-06	Bought	125	BANCO BILBAO VIZ ARG SA ADS	12.1240	1,515.50	
12-03	12-06	Bought	30	BANK ONE CORP	36.9796	1,109.39	
12-03	12-06	Bought	30	BASF AG SP ADR	37.7249	1,131.75	
12-03	12-06	Bought	45	BOEING CO	34.3000	1,543.50	
12-03	12-06	Bought	30	BRASIL TELECOM PART SA ADS	37.6590	1,129.77	
12-03	12-06	Bought	70	BRITISH AMER TOB SPON ADR	16.6720	1,161.04	
12-03	12-06	Bought	65	DEUTSCHE TELEKOM AG 1 ORD 1ADS	16.7467	1,088.54	
12-03	12-06	Bought	35	DIAGEO PLC SPON ADR NEW	43.4000	1,519.00	
12-03	12-06	Bought	35	DU PONT EI DE NEMOURS & CO	43.6600	1,528.10	
12-03	12-06	Bought	60	EASTMAN KODAK CO	30.2468	1,814.67	
12-03	12-06	Bought	20	ENI SPA AMER DEP RCPT	59.4847	1,189.69	
12-03	12-06	Bought	35	EXELON CORP	44.6560	1,562.96	
12-03	12-06	Bought	20	GENERAL MOTORS CORP	48.5997	971.99	
12-03	12-06	Bought	50	GOODYEAR TIRE & RUBBER	22.2238	1,111.19	
12-03	12-06	Bought	50	HEWLETT PACKARD	21.7942	1,089.71	
12-03	12-06	Bought	25	HITACHI 10 COM NEW ADR	74.9365	1,873.41	
12-03	12-06	Bought	20	HSBC HOLDINGS PLC SPON ADR NEW	59.9272	1,198.54	
12-03	12-06	Bought	25	LOEWS CORP DELAWARE	57.2300	1,430.75	
12-03	12-06	Bought	40	MC DONALDS CORP	27.0865	1,083.46	
12-03	12-06	Bought	15	MERCK & CO	67.4855	1,012.25	
12-03	12-06	Bought	220	MITSUBISHI TOKYO FIN GP ADR	6.7961	1,495.58	
12-03	12-06	Bought	70	MOTOROLA INC	16.8000	1,176.00	
12-03	12-06	Bought	95	NIPPON TELEGRAPH&TELEPHONE ADS	19.6782	1,869.43	
12-03	12-06	Bought	10	NORTHROP GRUMMAN CP(HLDG CO)	98.4000	984.00	
12-03	12-06	Bought	55	PETROLEO BRASILEIRO SA ADR	20.5613	1,129.22	
12-03	12-06	Bought	60	PG&E CORPORATION	18.5766	1,114.60	
12-03	12-06	Bought	30	PHILIP MORRIS CO INC	46.8156	1,404.47	
12-13	12-18	Bought	55	PRUDENTIAL FINANCIAL INC	29.5235	1,623.79	
12-03	12-06	Bought	35	RAYTHEON CO (NEW)	33.0543	1,156.90	
12-03	12-06	Bought	105	REPSOL YPF SA ADR	14.3790	1,509.80	
12-03	12-06	Bought	40	SBC COMMUNICATIONS	37.9330	1,517.32	
12-03	12-06	Bought	65	SCHERING PLOUGH CORP	36.1928	2,352.83	
12-03	12-06	Bought	40	SHERWIN WILLIAMS COMPANY OHIO	27.9900	1,119.60	
12-03	12-06	Bought	50	SPRINT CORP (FON GROUP)	21.8989	1,094.95	
12-03	12-06	Bought	45	TELECOMUNICACOES BRAS SA ADS	36.1997	1,628.99	
12-03	12-06	Bought	45	TELEFONICA DE ESPANA SA ADR	39.1944	1,763.75	
12-03	12-06	Bought	45	TELEFONOS DE MX SA DE CV ADR	38.2900	1,498.05	

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 058

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-03	12-06	Bought	50	TOKIO MARINE & FIRE ADR NEW	39.2000	1,176.00	
12-03	12-06	Bought	55	TOYS R US	20.9900	1,154.45	
12-03	12-06	Bought	45	UNILEVER PLC (NEW) ADS	32.6533	1,469.40	
12-03	12-06	Bought	125	UNISYS CORP.	11.8816	1,485.20	
12-03	12-06	Bought	30	UST INC	35.9756	1,079.27	
12-03	12-06	Bought	25	VERIZON COMMUNICATIONS	47.5900	1,189.75	
12-03	12-06	Bought	55	WALT DISNEY CO HLDG CO	20.0700	1,103.85	
12-03	12-06	Bought	40	WASTE MGMT INC (DEL.A)	28.9411	1,157.64	
12-03	12-06	Bought	180	XEROX CORP	8.3321	1,499.78	
12-03	12-06	Bought	75	ZURICH FINANCIAL SVC	25.5628	1,917.21	
				Total Funds to Purchase Securities		-71,698.42	

Other Debits

Date	Activity	Description	Amount	Additional Information
11-30	Charge	ACCESS INCEP FEE BRN	-133.40	
12-06	Tax	I D E C PHARMACEUTICALS	-639.93	
12-06	Tax	CAPITAL ONE FINANCIAL CORP	-588.24	
12-06	Tax	PERKIN ELMER INC	-313.27	
12-06	Tax	AES CORP	-67.85	
12-06	Tax	UNITEDHEALTH GP INC	-565.39	
12-06	Tax	CIENA CORPORATION	-67.36	
12-06	Tax	JDS UNIPHASE CORP	-44.47	
12-06	Tax	CHARTER COMM CLASS A	-421.73	
12-06	Tax	SIEBEL SYSTEMS INC	-654.51	
12-06	Tax	COMVERSE TECHNOLOGY INC	-151.74	
12-06	Tax	USA EDUCATION	-286.67	
12-06	Tax	TENET HEALTHCARE CORP	-695.72	
12-06	Tax	CHECK POINT SOFTWARE TECH LTD	-203.34	
12-06	Tax	BROCADE	-105.11	
12-06	Tax	MERCURY INTERACTIVE CORP	-135.51	
12-06	Tax	EOG RESOURCES INC	-535.16	
12-06	Tax	CALPINE CORP	-335.78	
12-06	Tax	BEA SYSTEMS INC	-111.92	
12-06	Tax	APPLERA CP-APPLIED BIOSYS GP	-287.21	
12-06	Tax	ANDRX CP-ANDRX GR	-490.21	
12-06	Tax	CABLEVISION SYS RNBW MEDIA	-36.15	
12-06	Tax	ALLERGAN INC	-481.89	
12-06	Tax	BAKER HUGHES INC	-642.92	
12-06	Tax	CABLEVISION SYSTEMS CORP	-157.19	
12-06	Tax	COMPUTER ASSOC INTL INC	-989.69	
12-06	Tax	FOREST LABORATORIES	-557.38	

2511

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GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

Other Debits

Date	Activity	Description	Amount	Additional Information
12-06	Tax	GOLDEN WEST FINCL CORP DEL	-325.04	
12-06	Tax	INTEL CORP	-963.59	
12-06	Tax	JOHNSON & JOHNSON	-695.00	
12-06	Tax	NIKE INC B	-225.53	
12-06	Tax	NORTHERN TRUST CORP	-398.37	
12-06	Tax	PAYCHEX INC	-266.87	
12-06	Tax	SOUTHWEST AIRLINES	-168.54	
12-06	Tax	SUN MICROSYSTEMS INC	-415.09	
		Total Other Debits	-12,979.77	

Total Debits To Your Account -84,730.95

ADDITIONAL ACCOUNT INFORMATION

Securities Received

Date	Activity	Quantity	Description	Price	Amount	Additional Information
11-21	Transferred	14	AES CORP		236.74	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	21	ALLERGAN INC		1,597.68	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	22	ANDRX CP-ANDRX GR		1,533.18	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	30	APPLERA CP-APPLIED BIOSYS GP		1,019.70	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	62	BAKER HUGHES INC		2,008.80	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	22	BEA SYSTEMS INC		352.66	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	11	BROCADE		336.82	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	6	CABLEVISION SYS RNBW MEDIA		124.20	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	12	CABLEVISION SYSTEMS CORP		453.60	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	56	CALPINE CORP		1,368.64	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	26	CAPITAL ONE FINANCIAL CORP		1,310.40	PER LETTER OF AUTHORIZATION FROM 630-097643-0

2512

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GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027808 096

Securities Received

Date	Activity	Quantity	Description	Price	Amount	Additional Information
11-21	Transferred	92	CHARTER COMM CLASS A		1,272.36	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	18	CHECK POINT SOFTWARE TECH LTD		707.04	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	13	CIENA CORPORATION		252.85	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	100	COMPUTER ASSOC INTL INC		3,012.00	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	24	COMVERSE TECHNOLOGY INC		540.00	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	49	EOG RESOURCES INC		1,661.68	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	26	FOREST LABORATORIES		1,875.90	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	21	GOLDEN WEST FINCL CORP DEL		1,092.63	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	30	I D E C PHARMACEUTICALS		2,009.10	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	100	INTEL CORP		3,081.00	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	15	JDS UNIPHASE CORP		170.25	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	39	JOHNSON & JOHNSON		2,373.15	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	15	MERCURY INTERACTIVE CORP		470.40	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	14	NIKE INC B		749.70	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	23	NORTHERN TRUST CORP		1,330.55	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	28	PAYCHEX INC		894.50	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	38	PERKIN ELMER INC		1,084.90	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	100	SIEBEL SYSTEMS INC		2,424.00	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	30	SOUTHWEST AIRLINES		557.70	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	100	SUN MICROSYSTEMS INC		1,246.00	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	38	TENET HEALTHCARE CORP		2,282.28	PER LETTER OF AUTHORIZATION FROM 630-097643-0
11-21	Transferred	26	UNITEDHEALTH GP INC		1,842.62	PER LETTER OF AUTHORIZATION FROM 630-097643-0

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2513

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

Securities Received

Date	Activity	Quantity	Description	Price	Amount	Additional Information
11-21	Transferred	11	USA EDUCATION		948.09	PER LETTER OF AUTHORIZATION FROM 630-097643-0
			Total Securities Received		42,241.12	

Tax Information

	Year-to Date		Year-to Date
Reportable Gross Proceeds	42,119.15	Foreign Tax Paid	94

The tax information provided above should be used only as a guide; a complete 1099 will be sent to you.

Messages

Please note that sell trades executed, checks written and debit card transactions made in 2001, and which settle early in 2002, will be reflected as 2001 transactions under the Assets, Checking and Debit Card sections of the Activity Details portion of the statement.

2514

JIM MOODY
MORGAN STANLEY
1737 KING STREET SUITE 100
ALEXANDRIA, VA 22314
(703) 635-8300

Account Number
630 027808 056

AAA Customer Service
1-800-869-3328

Your Investment Manager:
BRANDES INVESTMENT PARTNERS, INC.

GERALD D KLECZKA
4200 CHRISTINE PLACE
ALEXANDRIA VA 22311-1109

GAIN AND LOSS SUMMARY

The Gain and Loss Summary is provided for information purposes only and does not conform to tax preparation standards. It is accordingly not a substitute 1099 form, and should not be filed with your taxes, but is for personal record keeping purposes only.

For most securities purchased after 1985 through Morgan Stanley DW Inc., the necessary data, including cost basis (purchase price), is provided to estimate gain or loss. Please note that although Morgan Stanley DW Inc. makes every effort to adjust the cost basis for such securities' capital changes, it does not adjust the cost basis for all events, including amortization of non-municipal bond premiums; exercise of stock options; securities deemed to have been sold and simultaneously repurchased; receipt of cash in lieu of fractional shares; or the net effect of wash sales and/or short sales against the box. Due to a systems upgrade that is currently in process, gain and loss reporting on options positions has been temporarily suspended; such reports will resume when the upgrade is completed.

For securities not purchased through Morgan Stanley DW Inc., for example, securities purchased elsewhere and later transferred to it, you will need to supply the relevant information either to your Financial Advisor or directly onto ClientServ, independently of Morgan Stanley DW Inc. In either case, it is your responsibility to ensure the accuracy of this information, since Morgan Stanley DW Inc. has no knowledge of such assets' cost basis. To correct any information supplied by Morgan Stanley DW Inc., please inform your Financial Advisor; to correct any information supplied by you, you may either inform your Financial Advisor or input the data directly yourself through ClientServ. Morgan Stanley DW Inc. does not guarantee nor will it independently verify the accuracy of the information in the Summary Worksheet.

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
Stocks							
Common Stocks							
ABN AMRO HLDGS N V	70	12-03-01	15.7595	1,103.17	1,139.60	36.43	Short Term
ALCATEL ADS	85	12-03-01	17.7564	1,509.30	1,406.75	(102.55)	Short Term
ALLSTATE CORP	45	12-03-01	34.7375	1,563.19	1,516.50	(46.69)	Short Term
AMERICA MOVIL SA DE CV ADR L	90	12-03-01	17.1892	1,547.03	1,753.20	206.17	Short Term

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2515

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027808 056

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
ARCHER DANIELS MIDLAND	75	12-03-01	15.4796	1,160.97	1,076.25	(84.72)	Short Term
BAE SYS PLC SPON ADR	60	12-03-01	18.3000	1,098.00	1,080.18	(17.82)	Short Term
BANCO BILBAO VIZ ARG SA ADS	125	12-03-01	12.1240	1,515.50	1,556.25	40.75	Short Term
BANK ONE CORP	30	12-03-01	36.9796	1,109.39	1,171.50	62.11	Short Term
BASF AG SP ADR	30	12-03-01	37.7250	1,131.75	1,137.30	5.55	Short Term
BOEING CO	45	12-03-01	34.3000	1,543.50	1,745.10	201.60	Short Term
BRASIL TELECOM PART SA ADS	30	12-03-01	37.6590	1,129.77	1,244.40	114.63	Short Term
BRITISH AMER TOB SPON ADR	70	12-03-01	16.8720	1,181.04	1,190.00	8.96	Short Term
DEUTSCHE TELEKOM AG 1 ORD 1ADS	65	12-03-01	16.7467	1,088.54	1,098.50	9.96	Short Term
DIAGEO PLC SPON ADR NEW	35	12-03-01	43.4000	1,519.00	1,619.45	100.45	Short Term
DU PONT EI DE NEMOURS & CO	35	12-03-01	43.6600	1,528.10	1,487.85	(40.25)	Short Term
EASTMAN KODAK CO	60	12-03-01	30.2448	1,814.69	1,765.80	(48.89)	Short Term
ENI SPA AMER DEP RCPT	20	12-03-01	59.4845	1,189.69	1,239.20	49.51	Short Term
EXELON CORP	35	12-03-01	44.6560	1,562.96	1,675.80	112.84	Short Term
GENERAL MOTORS CORP	20	12-03-01	48.5995	971.99	972.00	.01	Short Term
GOODYEAR TIRE & RUBBER	50	12-03-01	22.2238	1,111.19	1,190.50	79.31	Short Term
HEWLETT PACKARD	50	12-03-01	21.7942	1,089.71	1,027.00	(62.71)	Short Term
HITACHI 10 COM NEW ADR	25	12-03-01	74.9364	1,873.41	1,829.75	(43.66)	Short Term
HSBC HOLDINGS PLC SPON ADR NEW	20	12-03-01	59.9270	1,198.54	1,194.20	(4.34)	Short Term
LOEWS CORP DELAWARE	25	12-03-01	57.2300	1,430.75	1,384.50	(46.25)	Short Term

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
MC DONALDS CORP	40	12-03-01	27.0865	1,083.46	1,058.80	(24.66)	Short Term
MERCK & CO	15	12-03-01	67.4833	1,012.25	882.00	(130.25)	Short Term
MITSUBISHI TOKYO FIN GP ADR	220	12-03-01	6.7980	1,495.56	1,423.40	(72.16)	Short Term
MOTOROLA INC	70	12-03-01	16.8000	1,176.00	1,051.40	(124.60)	Short Term
NIPPON TELEGRAPH&TELEPHONE ADS	95	12-03-01	19.6782	1,869.43	1,539.00	(330.43)	Short Term
NORTHROP GRUMMAN CP(HLDG CO)	10	12-03-01	94.4000	944.00	1,008.10	64.10	Short Term
PETROLEO BRASILEIRO SA ADR	55	12-03-01	20.5312	1,129.22	1,222.65	93.43	Short Term
PG&E CORPORATION	60	12-03-01	18.5766	1,114.60	1,154.40	39.80	Short Term
PHILIP MORRIS CO INC	30	12-03-01	46.8156	1,404.47	1,375.50	(28.97)	Short Term
PRUDENTIAL FINANCIAL INC	55	12-13-01	29.5234	1,623.79	1,825.45	201.66	Short Term
RAYTHEON CO (NEW)	35	12-03-01	33.0342	1,156.90	1,136.45	(20.45)	Short Term
REPSOL YPF SA ADR	105	12-03-01	14.3790	1,509.80	1,525.65	15.85	Short Term
SBC COMMUNICATIONS	40	12-03-01	37.9330	1,517.32	1,566.80	49.48	Short Term
SCHERING PLOUGH CORP	68	12-03-01	36.1927	2,352.53	2,327.65	(24.88)	Short Term
SHERWIN WILLIAMS COMPANY OHIO	40	12-03-01	27.9900	1,119.60	1,100.00	(19.60)	Short Term
SPRINT CP(FON GP) SERS 1	50	12-03-01	21.8990	1,094.95	1,004.00	(90.95)	Short Term
TELECOMUNICACOES BRAS SA ADS	45	12-03-01	36.1997	1,628.99	1,800.00	171.01	Short Term
TELEFONICA DE ESPANA SA ADR	45	12-03-01	39.1944	1,763.75	1,803.60	39.85	Short Term
TELEFONOS DE MX SA DE CV ADR	45	12-03-01	33.2900	1,498.05	1,575.90	77.85	Short Term
TOKIO MARINE & FIRE ADR NEW	30	12-03-01	39.2000	1,176.00	1,098.00	(78.00)	Short Term

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Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 058

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
TOYS R US	55	12-03-01	20.9900	1,154.45	1,140.70	(13.75)	Short Term
UNILEVER PLC (NEW) ADS	45	12-03-01	32.6533	1,469.40	1,497.15	27.75	Short Term
UNISYS CORP	125	12-03-01	11.8816	1,485.20	1,567.50	82.30	Short Term
UST INC	30	12-03-01	35.9756	1,079.27	1,050.00	(29.27)	Short Term
VERIZON COMMUNICATIONS	25	12-03-01	47.5900	1,189.75	1,186.50	(3.25)	Short Term
WALT DISNEY CO HLDG CO	55	12-03-01	20.0700	1,103.85	1,139.60	35.75	Short Term
WASTE MGMT INC (DELA)	40	12-03-01	28.9410	1,157.64	1,276.40	118.76	Short Term
XEROX CORP	180	12-03-01	8.3321	1,499.78	1,875.60	375.82	Short Term
ZURICH FINANCIAL SVC	75	12-03-01	25.5628	1,917.21	1,759.50	(157.71)	Short Term
Totals for positions with cost data available				971,698.42	972,473.28	774.86	
Total Market Value for all positions					972,473.28		

The "Total Cost" and "Unit Cost" for Fixed Income Unit Trusts, Mortgage-Backed Securities, and Zero Coupon Bonds has been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase date. In the event that the accumulated total return of principal or capital is greater than the provided original cost, the adjusted cost will be "0.00".

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
Short Term							
APPLERA CP-APPLIED BIOSYS GP	30	11-21-01	12-03-01	please provide	941.66		
CABLEVISION SYS RNBW MEDIA	6	02-20-01	12-03-01	please provide	125.09		
CABLEVISION SYSTEMS CORP	12	12-07-00	12-03-01	928.20	515.38	(412.82)	Short Term
COMPUTER ASSOC INTL INC	100	01-24-01	12-03-01	3,445.36	3,244.89	(200.47)	Short Term
GOLDEN WEST FINCL CORP DEL	7	12-13-00	12-03-01	434.44	355.24	(79.20)	Short Term
INTEL CORP	100	01-24-01	12-03-01	3,607.75	3,224.89	(382.86)	Short Term
JDS UNIPHASE CORP	15	11-21-01	12-03-01	please provide	145.79		
JOHNSON & JOHNSON	39	06-26-01	12-03-01	please provide	2,278.69		
NIKE INC B	14	12-20-00	12-03-01	689.20	739.45	50.25	Short Term
SIEBEL SYSTEMS INC	100	01-24-01	12-03-01	8,306.82	2,145.92	(6,160.90)	Short Term
SOUTHWEST AIRLINES	30	12-22-00	12-03-01	639.97	552.58	(87.39)	Short Term

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GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
SUN MICROSYSTEMS INC	100	01-24-01	12-03-01	3,308.05	1,360.95	(1,947.10)	Short Term
UNITEDHEALTH GP INC	8	12-06-00	12-03-01	476.72	570.38	94.66	Short Term
UNITEDHEALTH GP INC	6	12-21-00	12-03-01	361.85	427.78	65.93	Short Term
USA EDUCATION	11	12-20-00	12-03-01	689.66	939.91	250.25	Short Term
Sub Total Short Term				$22,867.02	$14,077.37	($8,009.65)	
Long Term							
AES CORP	14	09-23-99	12-03-01	456.75	222.45	(234.30)	Long Term
ALLERGAN INC	15	07-12-00	12-03-01	1,203.69	1,128.56	(75.33)	Long Term
ALLERGAN INC	6	10-25-00	12-03-01	502.53	451.42	(51.11)	Long Term
ANDRX CP-ANDRX GR	22	09-08-00	12-03-01	please provide 1,583.18	1,607.26	24.08	L/T
BAKER HUGHES INC	62	03-07-00	12-03-01	1,818.81	2,107.92	289.11	Long Term
BEA SYSTEMS INC	13	08-17-00	12-03-01	740.35	216.83	(523.52)	Long Term
BEA SYSTEMS INC	19	08-23-00	12-03-01	801.44	150.11	(651.33)	Long Term
BROCADE	11	07-21-00	12-03-01	1,096.24	344.61	(751.63)	Long Term
CALPINE CORP	56	07-06-00	12-03-01	1,839.25	1,100.92	(738.33)	Long Term
CAPITAL ONE FINANCIAL CORP	26	03-17-00	12-03-01	1,215.99	1,272.91	56.92	Long Term
CHARTER COMM CLASS A	59	10-09-00	12-03-01	1,114.97	886.74	(228.23)	Long Term
CHARTER COMM CLASS A	33	10-25-00	12-03-01	582.10	495.97	(86.13)	Long Term
CHECK POINT SOFTWARE TECH LTD	3	01-21-00	12-03-01	123.89	111.12	(12.77)	Long Term
CHECK POINT SOFTWARE TECH LTD	15	02-04-00	12-03-01	724.59	555.57	(171.02)	Long Term
CIENA CORPORATION	5	12-13-99	12-03-01	179.63	84.95	(94.68)	Long Term
CIENA CORPORATION	8	02-24-00	12-03-01	492.29	135.91	(356.38)	Long Term
COMVERSE TECHNOLOGY INC	24	03-02-98	12-03-01	377.85	497.50	119.65	Long Term
EOG RESOURCES INC	49	08-03-00	12-03-01	1,641.08	1,754.63	113.55	Long Term
FOREST LABORATORIES	18	08-04-00	12-03-01	1,052.90	1,265.17	212.27	Long Term
FOREST LABORATORIES	8	10-25-00	12-03-01	538.79	562.50	23.71	Long Term
GOLDEN WEST FINCL CORP DEL	14	11-30-00	12-03-01	817.81	710.47	(107.34)	Long Term
I D E C PHARMACEUTICALS	18	10-11-00	12-03-01	980.00	1,258.88	278.88	Long Term
I D E C PHARMACEUTICALS	12	10-25-00	12-03-01	780.50	839.25	58.75	Long Term
MERCURY INTERACTIVE CORP	3	08-31-99	12-03-01	71.59	88.86	17.27	Long Term
MERCURY INTERACTIVE CORP	12	12-30-99	12-03-01	606.18	355.42	(250.76)	Long Term
NORTHERN TRUST CORP	23	03-24-00	12-03-01	1,523.23	1,306.12	(217.11)	Long Term
PAYCHEX INC	15	06-01-00	12-03-01	562.50	524.98	(37.52)	Long Term
PAYCHEX INC	10	07-21-00	12-03-01	449.99	349.99	(100.00)	Long Term
PERKIN ELMER INC	26	08-31-00	12-03-01	1,177.50	702.75	(474.75)	Long Term
PERKIN ELMER INC	12	09-21-00	12-03-01	593.70	324.35	(269.35)	Long Term
TENET HEALTHCARE CORP	38	06-01-00	12-03-01	983.25	2,281.06	1,297.81	Long Term
UNITEDHEALTH GP INC	12	11-28-00	12-03-01	712.50	857.57	145.07	Long Term
Sub Total Long Term				$25,464.09	$22,943.29	($2,520.80)	

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2519

Morgan Stanley

ACTIVE ASSETS® ACCESS ACCOUNT
FOR YEAR ENDING DECEMBER 31, 2001

GERALD D KLECZKA
4200 CHRISTINE PLACE

Account Number
630 027908 056

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
Totals for closing transactions with cost data available				$46,351.11	$37,020.66	($13,330.45)	
Total Proceeds					$42,119.15		

Summary	Short Term	Long Term	Total
Unrealized gain	$2,421.69	$0.00	$2,421.69
Unrealized (loss)	($1,646.85)	$0.00	($1,646.85)
Realized gain YTD	$461.09	$2,610.79	$3,071.88
Realized (loss) YTD	($9,270.74)	($5,131.59)	($14,402.33)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY -9 PM 12:33
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(38)

Joseph K. Knollenberg
(Full Name)

1130 Park Place Court
(Mailing Address)

Bloomfield Hills, MI 48302

Daytime Telephone: 202-225-5802

Filer Status	[X] Member of the U.S. House of Representatives — State: Michigan District: 11th	[ ] Officer or Employee	Employing Office.
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	[signature]	5-8.02

2521

Name Joseph K. Knollenberg | Page 2 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Allstate Insurance Co., Southfield, MI	Speech	June 20, 2001	$1,000

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Joseph K. Knollenberg

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

	A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
SP, DC, JT — Example: SP — Mega Corp. Stock				X							
Example: Simon & Schuster			Indefinite								
Example: 1st Bank of Paducah, KY accounts					X						
The Private Bank (formerly The Bank of Bloomfield Hills) Bloomfield Hills, MI					X						
Bank One, Michigan Detroit, MI	X										
Congressional Fed. C.U. Washington, D.C.			X								
Farm-thru Helen K. Knollenberg Tr.- Matoon, IL			X								
Research Electro Optics Boulder, CO (7680 shs)					X						

BLOCK C — Type of Income

	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)
Example: Mega Corp. Stock	X						
Example: Simon & Schuster							Royalties
Example: 1st Bank of Paducah, KY accounts			X				
The Private Bank (formerly The Bank of Bloomfield Hills) Bloomfield Hills, MI			X				
Bank One, Michigan Detroit, MI			X				
Congressional Fed. C.U. Washington, D.C.	Non-Interest Bearing Account						
Farm-thru Helen K. Knollenberg Tr.- Matoon, IL	Farm Interest						
Research Electro Optics Boulder, CO (7680 shs)	X						

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

	I None	II $ – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000
Example: Mega Corp. Stock				X							
Example: Simon & Schuster									X		
Example: 1st Bank of Paducah, KY accounts						X					
The Private Bank (formerly The Bank of Bloomfield Hills) Bloomfield Hills, MI					X						
Bank One, Michigan Detroit, MI			X								
Congressional Fed. C.U. Washington, D.C.	X										
Farm-thru Helen K. Knollenberg Tr.- Matoon, IL				X							
Research Electro Optics Boulder, CO (7680 shs)	X										

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Example: Mega Corp. Stock	P
Example: Simon & Schuster	
Example: 1st Bank of Paducah, KY accounts	
The Private Bank (formerly The Bank of Bloomfield Hills) Bloomfield Hills, MI	
Bank One, Michigan Detroit, MI	Account Closed July 2001
Congressional Fed. C.U. Washington, D.C.	
Farm-thru Helen K. Knollenberg Tr.- Matoon, IL	
Research Electro Optics Boulder, CO (7680 shs)	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Joseph K. Knollenberg

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	O $1,001 – $15,000	E $50,001 – $100,000	G $250,001 – $500,000	I $1,000,001 – $5,000,000	K $25,000,001 – $50,000,000	BLOCK C Type of Income: DIVIDENDS	INTEREST	EXCEPTED TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	III $201 – $1,000	V $2,501 – $5,000	VII $15,001 – $50,000	IX $100,001 – $1,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Mutual Funds held																	
	through Fidelity																	
	Brokerage Services, LLC																	
	Boston, MA																	
	See attached year-end																	
	reports, A/C No.X35-088080				X			X		X								P,S,*
	BROKER USES NATIONAL FINANCIAL SERVICES LLC TO REPORT ACTIVITY AND INCOME																	
SP	Securities held through																	
	W.S. Griffith and Co.,Inc.				BROKER NOW USES NATIONAL FINANCIAL SERVICES LLC													
	3131 Camino Del Rio N.				TO REPORT ACTIVITY AND INCOME													
	Suite 400, San Diego, CA																	
	See attached year-end																	
	reports																	
	A/C No. L429236 CX	X						X	X	X			X					E

This page may be copied if more space is required. *ADDITIONAL PURCHASES THROUGH DIVIDEND REINVESTMENT

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Joseph K. Knollenberg

BP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Securities held through																															
	National Financial Svcs, LLC																															
	for Broker WS Griffith Inc.																															
	3131 Camino Del Rio N.																															
	Suite 400																															
	San Diego, CA 92108																															
	See attached year-end																															
	reports, A/C No WRN-132047					X								X			X															P, *
	Securities held through																															
	PaineWebber Inc Retirement																															
	Wilson Kemp & Assoc., Inc																															
	Investment Counsel																															
	Detroit, MI																															
	See attached year-end																															
	reports								X					X		X	X										X					P,S

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*ADDITIONAL PURCHASES THROUGH DIVIDEND REINVESTMENT.

Name Joseph K. Knollenberg | Page 6 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Activity through Fidelity Brokerage Services, LLC - Dividends reinvested and sale of Mutual Fund - see attached year-end report		X		5-7-01	X									
		X			*	X									
SP	Activity through W.S. Griffith & Co. Inc. see attached year-end report			X		Account activity now reported through National Financial Services LLC									
						Account transferred to WRN-132047									
SP	Activity through National Financial Services LLC - Dividends reinvested - see attached year-end report	X			*	X									
	Activity through PaineWebber, Inc. Retirement	X			Various		X								
	Wilson, Kemper & Assoc. Inc. - Investment Counsel - See attached year-end report		X		Various				X						

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* DIVIDENDS ARE REINVESTED THROUGHOUT THE YEAR AS DIVIDENDS AND CAPITAL GAINS ARE RECEIVED.

Name Joseph K. Knollenberg | Page 7 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Fidelity Brokerage Services LLC	Margin Account			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Armenian Assembly	March 16,17	Wash, DC-Ft Lauderdale-Detroit	Y	Y	N	N
Aspen Institute	March 9-11	Wash, DC-Greenbriar-Wash, DC [illegible]	Y	Y	Y	N
International Management and Development Institute	Feb 22-25	Wash, DC-Dusseldorf-Liechenstein-Wash, DC	Y	Y	Y	N

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2528

Fidelity Investments

FIDELITY **PREFERRED RETIREMENT** SERVICES℠

ENV# 135127389

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

2001 Investment Report

January 1, 2001 - December 31, 2001

Online	Fidelity.com
FAST(sm)-Automated Telephone	800-544-5555
Preferred Retirement Services	800-544-6565

Your Asset Allocation on Dec 31, 2001

Stock	88%
Bond	12%
Short-term	0%

▶ Your 2001 Investment Report summarizes activity in your Fidelity account for the past year. To assist you in tax preparation, **COST BASIS** information is located in the section entitled *Realized Gain/Loss and Cost Basis Information from Sales*. You will also find the section entitled *Tax Exempt Income from Fidelity Funds* if you had **tax exempt income** in 2001. You will receive your **Forms 1099** under separate cover.

Ultra Service Account X35-088080 JOSEPH K KNOLLENBERG LVG TRUST U/A 06/25/71 JOSEPH K KNOLLENBERG TRUSTEE

2001 Account Summary

Beginning market value as of Jan 1	$281,787.74
Withdrawals	-9,380.00
Margin interest paid	-5,863.82
Change in investment value	-28,752.01
Change in debit balance	5,863.82
Ending market value as of Dec 31	243,655.73
Debit balance	-87,291.93
Ending Net Value	**$156,363.80**
Your commission schedule	Silver
Account eligible trades from Jan 2001 - Dec 2001	0

Income Summary

Taxable	
Ordinary Dividends	
Dividends	$3,130.82
Lt cap gain	1,471.16
Tax-exempt	
Dividends	938.19
Total	$5,540.17

Realized Gain/Loss from Sales

Long-term loss	-$2,800.00
Lt disallowed loss	66.25
Net long	**-$2,733.75**

2529

Fidelity Investments

FIDELITY **PREFERRED RETIREMENT** SERVICES℠

2001 Investment Report

January 1, 2001 - December 31, 2001

Ultra Service Account X35-088080 JOSEPH K KNOLLENBERG LVG TRUST U/A 06/25/71 JOSEPH K KNOLLENBERG TRUSTEE

Holdings (Symbol) as of 12/31	% of Holdings	Performance December 31, 2001	Income Earned	Quantity	Price per Unit	Total Cost Basis	Total Value
Stock Funds							
M FIDELITY STOCK SELECTOR (FDSSX)	14%		$220.02	1,581.90100	$21.1300	$39,153.24	$33,425.57
M FIDELITY EQUITY INCOME II (FEQTX)	15%		1,850.12	1,715.19600	21.0300	40,950.42	36,070.57
M FIDELITY FUND (FFIDX)	32%		561.79	2,688.01100	28.8600	71,966.38	77,629.76
M OBERWEIS EMERGING GROWTH PORTFOLIO (OBEGX)	8%		0.00	917.63800	21.2900	27,005.72	19,538.51
M PBHG GROWTH (PBHGX)	8%		0.00	962.53700	20.3600	28,399.16	19,597.25
M VANGUARD WINDSOR II (VWNFX)	12%		760.91	1,117.52500	25.5900	26,640.05	28,597.46
Bond Funds							
M FIDELITY HIGH INCOME (SPHIX)	4%	*30-day yield: 9.90%*	1,209.14	1,080.72000	8.1300	12,946.24	8,788.25
M SPARTAN MI MUNICIPAL INCOME (FMHTX)	8%	*30-day yield: 4.26%*	939.19	1,744.75700	11.4700	19,706.47	20,012.36
Total Market Value as of December 31, 2001							**$243,855.73**
2001 Income Earned			**$ 5,540.17**				
Debit balance							-87,291.93
Total Net Value							**$156,363.80**

M - Position held in margin account.

Transaction Details of Core Account

Core Account - *Fidelity MI Muni Money Market*

Description	Amount	Balance
Beginning		-$81,428.11
Investment Activity		
Securities bought	-$5,540.17	
Securities sold	9,380.00	
Income	5,540.17	
Margin interest	-5,863.82	
Subtotal of Investment Activity	$3,516.18	
Cash Management Activity		
Other withdrawals	-9,380.00	

Fidelity Investments

FIDELITY **PREFERRED RETIREMENT** SERVICES℠

2001 Investment Report

January 1, 2001 - December 31, 2001

Ultra Service Account X35-088080 JOSEPH K KNOLLENBERG LVG TRUST U/A 06/25/71 JOSEPH K KNOLLENBERG TRUSTEE

Transaction Details of Core Account

Core Account - *Fidelity MI Muni Money Market*

Description	Amount	Balance	Description	Amount	Balance
Subtotal of Cash Management Activity	- $9,380.00		Ending		-$87,291.93

▶ Tax-Exempt Income from Fidelity Funds

Fund	Federal Tax-Exempt Dividend Distribution	State/Local Tax-Exempt Dividend Distribution	State/Local Taxable Dividend Distribution	Alternative Minimum Tax Income
* SPARTAN MI MUNICIPAL INCOME (FMHTX)	$938.19	$938.19	$0.00	$31.84

** Since this fund did not distribute any federally taxable income to you in 2001, you will not receive a Form 1099-DIV. The information you need to prepare your taxes is provided in this section.*

▶ Realized Gain/Loss and Cost Basis Information from Sales

Security	Date Acquired	Date of Sale	Sales price per share/unit	Quantity	Proceeds	Total Cost Basis	Gain/Loss (+/-) Holding Period(ST,LT,S LT)
FIDELITY HIGH INCOME	4/15/96	5/07/01	$9.38	1,000.000	$9,380.00	$12,180.00 a	-$2,800.00 LT
	Wash Sale Disallowed Loss					- 66.25	66.25 LT
Net total long				1,000.000	9,380.00	12,113.75	- 2,733.75

LT long term

a - Average Cost Single Category

2531

00009494 000038129

Fidelity Investments

Brokerage Name and Address:
FIDELITY BROKERAGE SERVICES LLC
82 DEVONSHIRE STREET - T2J
BOSTON, MA 02109

2001 Tax Reporting Statement

Account No.	Taxpayer ID.	Page
X35-088080	321-34-1325	1 of 2

Payer's Name and Address:
NATIONAL FINANCIAL SERVICES LLC
200 LIBERTY ST. 5TH FLR
NEW YORK, NY 10281-5500

00009494 02 AV 0.465 T 3 0 48302-145330 R A 054601

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD HI 48302-1459

Federal ID Number: 04-3523567

Customer Service: 800-544-6666
Visit Us Online: Fidelity.com

00004

Form 1099-DIV * 2001 Dividends and Distributions	OMB NO. 1545-0110 Copy B for Recipient	Amount
1 Ordinary Dividends		3,130.82
2a Total Capital Gain Distributions(Includes 2b - 2e)		1,471.16
2b Capital Gains that represent 28% Rate Gain		0.00
2c Capital Gains that represent Qualified 5-Year Gain		1,141.18
2d Capital Gains that represent Unrecaptured Section 1250 Gain		0.00
2e Capital Gains that represent Section 1202 Gain		0.00
3 Non-Taxable Distributions		0.00
4 Federal Income Tax Withheld		0.00
5 Investment Expenses		0.00
6 Foreign Tax Paid		0.00
7 Foreign Country or U.S. Possession		
8 Cash Liquidation Distributions		0.00
9 Non-Cash Liquidation Distributions		0.00

Form 1099-INT * 2001 Interest Income	OMB NO. 1545-0112 Copy B for Recipient	Amount
1 Interest Income not Included in Line 3		0.00
2 Early Withdrawal Penalty		0.00
3 Interest on U.S. Savings Bonds and Treas. Obligations		0.00
4 Federal Income Tax Withheld		0.00
5 Investment Expenses		0.00
6 Foreign Tax Paid		0.00
7 Foreign Country or U.S. Possession		

Form 1099-MISC * 2001 Miscellaneous Income	OMB NO. 1545-0116 Copy B for Recipient	Amount
2 Royalties		0.00
4 Federal Income Tax Withheld		0.00

Summary of 2001 Proceeds From Broker and Barter Exchange Transactions	Amount
Gross Proceeds Less Commissions	9,380.00†
Federal Income Tax Withheld	0.00†

†Gross Proceeds from each of your security transactions are reported individually to the IRS. Refer to the 1099-B section of this statement. Report gross proceeds individually for each security on the appropriate IRS tax return. Do not report gross proceeds in aggregate.

Summary of 2001 Original Issue Discount	Amount
Total Original Issue Discount	0.00‡
Total Original Issue Discount on U.S. Treasury Obligations	0.00‡

‡Original Issue Discount (OID) amounts are reported individually to the IRS. Refer to the Original Issue Discount detail section of this statement.

*This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Please see the enclosed important instructions.

Fidelity Investments

Brokerage Name and Address:
FIDELITY BROKERAGE SERVICES LLC
82 DEVONSHIRE STREET - T2J
BOSTON, MA 02109

2001 Tax Reporting Statement		
Account No.	Taxpayer ID.	Page
X35-088080	321-34-1325	2 of 2

Payer's Name and Address:
NATIONAL FINANCIAL SERVICES LLC
200 LIBERTY ST. 5TH FLR
NEW YORK, NY 10281-5500

00034394 02 AV 0.485 T 3 0 48302-146330 R A 054801

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

Federal ID Number: 04-3523567

Customer Service: 800-544-6666
Visit Us Online: Fidelity.com

Form 1099-B *

2001 Proceeds from Broker and Barter Exchange Transactions

OMB NO. 1545-0715
Copy B for Recipient

5. Description	1b. CUSIP	Quantity	Event	1a. Date of Sale	2. Stock, Bond, etc. §	4. Federal Income Tax Withheld
FIDELITY HIGH INCOME	316146406	1,000.000	SALE	05/07/01	9,380.00	0.00
			Total - COLUMN 2		9,380.00	
			Total - COLUMN 4			0.00

§ Less Commissions

Refer to the enclosed *Understanding Your 2001 Tax Statement* brochure for more information.

*This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Please see the enclosed important instructions.

Fidelity Investments

00034434 000030125

2001 Supplemental Information		
Account No.	Taxpayer ID.	Page
X35-088080	321-34-1325	1 of 6

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

Customer Service: 800-544-6666
Visit Us Online: Fidelity.com

Detail Information — 1099-DIV — Dividends and Distributions

This detail information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	CUSIP	Date	Amount	Total
Ordinary Dividends - LINE 1				
Dividend Distributions				
FIDELITY STOCK SELECTOR	316066307	12/07/01	220.02	220.02
FIDELITY EQUITY INCOME II	316145101	03/09/01	180.28	
		06/08/01	131.74	
		09/21/01	132.19	
		12/21/01	99.57	543.78
FIDELITY HIGH INCOME	316146406	01/31/01	148.19	
		02/28/01	134.31	
		03/30/01	148.09	
		04/30/01	135.58	
		05/31/01	83.03	
		06/29/01	65.56	
		07/31/01	68.36	
		08/31/01	65.69	
		09/28/01	58.21	
		10/31/01	62.15	
		11/30/01	60.88	
		12/31/01	179.09	1,209.14
FIDELITY FUND	316153105	03/09/01	106.74	
		06/08/01	106.88	
		09/21/01	107.01	
		12/21/01	241.16	561.79
VANGUARD WINDSOR II	922018205	06/25/01	288.42	
		12/21/01	307.67	596.09
			Total Dividend Distributions	3,130.82
			Total Ordinary Dividends - LINE 1	3,130.82 #

Under the Internal Revenue Code, distributions of short-term gains are taxable as dividends and are reported on Line 1 of FORM 1099-DIV. Report Total Ordinary Dividends in aggregate on the appropriate IRS tax return. Do not separate dividend distributions from short-term capital gain distributions.

Fidelity Investments

0003454 000000128 SEC

2001 Supplemental Information

Account No.	Taxpayer ID.	Page
X35-088080	321-34-1325	2 of 6

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

Customer Service: 800-544-6666
Visit Us Online: Fidelity.com

Detail Information — 1099-DIV — Dividends and Distributions

Description	CUSIP	Date	Amount	Total
This detail information is not reported to the IRS. It is provided for your assistance in tax return preparation.				
Capital Gain Distributions Subject to 20% Rate Gain				
The portion of the Cap. Gain Dist. subject to the 20% Rate Gain is equal to Line 2a less any amount shown on lines 2b - 2e				
FIDELITY EQUITY INCOME IX	316145101	01/05/01	244.25	
		12/21/01	85.73	329.98
Total Capital Gain Distributions Subject to 20% Rate Gain				**329.98**
Capital Gain Distributions (Qualified 5-Year Gain) LINE 2c				
FIDELITY EQUITY INCOME II	316145101	12/21/01	976.36	976.36
VANGUARD WINDSOR II	922018205	12/21/01	164.82	164.82
Total Capital Gain Distributions (Qualified 5-Year) Gain - LINE 2c				**1,141.18 #**

 # Refer to the enclosed *Understanding Your 2001 Tax Statement* brochure for more information.

Total Long-Term Capital Gain Distributions - LINE 2a (Includes 2b - 2e) 1,471.16

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Fidelity Investments

2001 Supplemental Information

Account No.	Taxpayer ID.	Page
X35-088080	321-34-1325	3 of 6

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

Customer Service: 800-544-6666
Visit Us Online: Fidelity.com

Other Information For Tax Return Preparation

Amount

The information on this and the following pages is not reported to the IRS. It is provided for your assistance in tax return preparation.

Tax-Exempt Dividends and Interest	938.19
Margin Interest Paid	5,863.82
Return of Principal	0.00
Non-Reportable Option Sales	0.00
Purchase Detail(Including Commissions) - Cost Less Accrued Interest Paid	5,540.17
- Accrued Interest Paid	0.00

Detail Information — Tax-Exempt Dividends and Interest

This information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	CUSIP	Date	Tax-Exempt Amount	Total
Tax-Exempt Dividends				
SPARTAN MI MUNICIPAL INCOME	316412204	01/31/01	79.05	
		02/28/01	71.07	
		03/30/01	80.53	
		04/30/01	77.56	
		05/31/01	81.03	
		06/29/01	77.43	
		07/31/01	80.06	
		08/31/01	79.72	
		09/28/01	76.72	
		10/31/01	78.74	
		11/30/01	76.40	
		12/31/01	79.88	938.19
			Total Tax-Exempt Dividends	938.19
			Total Tax-Exempt Dividends and Interest	938.19

Detail Information — Margin Interest Paid

This information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	Date	Total
MARGIN INTEREST @ 9.050% AVG B	01/07/01	204.70
MARGIN INTEREST @ 8.550% AVG B	01/21/01	270.75
MARGIN INTEREST @ 8.550% AVG B	02/04/01	272.33

Fidelity Investments

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2001 Supplemental Information		
Account No.	Taxpayer ID.	Page
X35-083080	321-34-1325	4 of 6

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

Customer Service: 800-544-6666
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Detail Information — Margin Interest Paid

This information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	Date	Total
MARGIN INTEREST @ 8.050% AVG B	02/20/01	293.03
MARGIN INTEREST @ 8.050% AVG B	03/20/01	515.35
MARGIN INTEREST @ 8.050% AVG B	03/22/01	27.11
MARGIN INTEREST @ 7.550% AVG B	04/22/01	539.52
MARGIN INTEREST @ 7.550% AVG B	04/24/01	35.05
MARGIN INTEREST @ 7.050% AVG B	05/20/01	425.02
MARGIN INTEREST @ 6.550% AVG B	06/20/01	443.33
MARGIN INTEREST @ 6.550% AVG B	06/28/01	122.94
MARGIN INTEREST @ 6.550% AVG B	07/22/01	368.83
MARGIN INTEREST @ 6.550% AVG B	07/23/01	30.57
MARGIN INTEREST @ 6.550% AVG B	08/20/01	448.43
MARGIN INTEREST @ 6.550% AVG B	08/23/01	46.63
MARGIN INTEREST @ 6.550% AVG B	09/18/01	404.16
MARGIN INTEREST @ 6.300% AVG B	09/20/01	29.90
MARGIN INTEREST @ 6.300% AVG B	10/04/01	210.50
MARGIN INTEREST @ 5.800% AVG B	10/21/01	225.32
MARGIN INTEREST @ 5.800% AVG B	11/07/01	236.54
MARGIN INTEREST @ 5.425% AVG B	11/20/01	169.19
MARGIN INTEREST @ 5.425% AVG B	12/13/01	300.74
MARGIN INTEREST @ 5.425% AVG B	12/20/01	91.53
MARGIN INTEREST @ 5.425% AVG B	12/30/01	131.35
	Total Margin Interest Paid	5,383.82

2001 Purchase Detail (Including Commissions)

This information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	CUSIP	Quantity	Date of Purchase	Purchase Cost ††	Accrued Interest Paid
FIDELITY STOCK SELECTOR	316066307	10.34900	12/07/01	220.02	0.00
FIDELITY EQUITY INCOME II	316145101	10.52800	01/05/01	244.25	0.00
		7.83100	03/09/01	180.28	0.00
		5.62800	06/08/01	131.74	0.00
		7.17600	09/21/01	132.19	0.00
		55.68800	12/21/01	1,161.65	0.00
FIDELITY HIGH INCOME	316146406	14.50000	01/31/01	148.19	0.00
		13.20600	02/28/01	134.31	0.00
		15.50700	03/30/01	148.09	0.00
		14.65700	04/30/01	135.58	0.00

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Fidelity Investments

2001 Supplemental Information

Account No.	Taxpayer ID.	Page
X35-088080	321-34-1325	5 of 6

JOSEPH K KNOLLENBERG
JOSEPH K KNOLLENBERG LVG TRUST
1130 PARK PLACE CT
BLOOMFIELD MI 48302-1459

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2001 Purchase Detail (Including Commissions)

This information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	CUSIP	Quantity	Date of Purchase	Purchase Cost ††	Accrued Interest Paid
FIDELITY HIGH INCOME	316146406	9.00500	05/31/01	83.03	0.00
		7.45000	06/29/01	65.56	0.00
		7.82200	07/31/01	68.36	0.00
		7.52500	08/31/01	65.69	0.00
		7.26700	09/28/01	58.21	0.00
		7.73000	10/31/01	62.15	0.00
		7.37900	11/30/01	60.88	0.00
		22.02800	12/31/01	179.09	0.00
FIDELITY FUND	316153105	3.53000	03/09/01	106.74	0.00
		3.29500	06/08/01	106.88	0.00
		4.36800	09/21/01	107.01	0.00
		8.40000	12/21/01	241.16	0.00
SPARTAN MI MUNICIPAL INCOME	316412204	6.84400	01/31/01	79.05	0.00
		6.15900	02/28/01	71.07	0.00
		6.94200	03/30/01	80.53	0.00
		6.78000	04/30/01	77.56	0.00
		7.04000	05/31/01	81.09	0.00
		6.71000	06/29/01	77.43	0.00
		6.87200	07/31/01	80.06	0.00
		6.76700	08/31/01	79.72	0.00
		6.55200	09/28/01	76.72	0.00
		6.67300	10/31/01	78.74	0.00
		6.55800	11/30/01	76.40	0.00
		6.96400	12/31/01	79.88	0.00
VANGUARD WINDSOR II	922018205	10.44600	06/25/01	288.42	0.00
		12.18000	12/21/01	307.67	0.00
		6.52500	12/21/01	164.82	0.00
			Total	**5,540.17**	**0.00**

†† *Includes commissions, and is less Accrued Interest Paid, if applicable.*

2001 Consolidated Form 1099

Corrected 02/17/02

W.S. GRIFFITH & CO., INC.
3131 CAMINO DEL RIO N,STE 400
SAN DIEGO, CALIFORNIA 92108

G02L014592-X - L4

IMPORTANT NOTICE:
This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.
UBS PaineWebber Inc., 1285 Ave of Americas, NY, NY 10019
(Federal ID 13-2638166)

Account Number L4 29238 CX G02L014591-X
Tax Identification Number 375-38-9788

Your Investment Representative or Contact
BRASSERT/BANK BLOOMFIELD HILLS 619-285-6100/FAX-619-285-

SANDRA R KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302-1459

Form 1099-DIV Dividends and Distributions *(OMB No. 1545-0110)*

Line#	Category	Amount
1	Ordinary dividends (includes line 5)	$ 463.65
2a	Total capital gain distributions (includes lines 2b, 2c, 2d, 2e)	114.71
2b	28% rate gain	0.00
2c	Qualified 5 - year gain	47.09
2d	Unrecaptured section 1250 gain	0.00
2e	Section 1202 gain	0.00
3	Nontaxable distributions	0.00
4	Federal income tax withheld	0.00
5	Investment expenses	0.00
6	Foreign tax paid	0.00
7	Foreign country or U.S. possession	
8	Liquidation distributions - cash	0.00
9	Liquidation distributions - non-cash (fair market value)	0.00

Form 1099-OID Original Issue Discount *(OMB No. 1545-0117)*

Line#	Category	Amount
1*	Original issue discount for 2001	$ 0.00
2	Other periodic interest	0.00
3	Early withdrawal penalty	0.00
4	Federal income tax withheld	0.00
5	Description	See details
6	Original issue discount on U.S. Treasury obligations	0.00
7	Investment expenses	0.00

*This may not be the correct figure to report on your income tax return. See enclosure for instructions

Form 1099-INT Interest Income *(OMB No. 1545-0112)*

Line#	Category	Amount
1	Interest income (not included on line 3)	$ 0.85
2	Early withdrawal penalty	0.00
3	Interest on U.S. Savings Bonds and Treasury obligations	0.00
4	Federal income tax withheld	0.00
5	Investment expenses (included on line 1)	0.00
6	Foreign tax paid	0.00
7	Foreign country or U.S. possession	

Form 1099-MISC Miscellaneous Income *(OMB No. 1545-0115)*

Line#	Category	Amount
2	Royalties	$ 0.00
3	Other income	0.00
4	Federal income tax withheld	0.00
8	Substitute payments in lieu of dividends or interest	0.00

Form 1099-B Proceeds From Broker & Barter Exchange Transactions *(OMB No. 1545-0715)*

Line#	Category	Amount
1a	Date of sale	Various
1b	CUSIP number	Various
2	Stocks, bonds, etc. reported to IRS (gross proceeds less commissions)	$ 3.03
3	Bartering	0.00
4	Federal income tax withheld	0.00
5	Description	See details

2539

2540

2001 Consolidated Form 1099
Corrected 02/17/02

Account Number L4 26236 CX Page 2 of 2
Your Investment Representative or Contact
BRASSERT/BANK BLOOMFIELD HILLS
619-285-6100/FAX-619-285-6300

G02L014583-X

Details for Items Reported on Forms 1099

Dividends and Distributions Details Reported on Form 1099-DIV

Description	Additional Information	Year paid	Tax year	Amount
AT&T CORP		2001	2001	4.38
DU PONT DE NEMOURS		2001	2001	43.05
GENL ELECTRIC CO		2001	2001	40.32
INVESTMENT CO AMER		2001	2001	173.02**
JOHN HANCOCK REGIONAL BANK FUND CLASS A		2001	2001	81.
LIR PREMIER MONEY MARKET FUND		2001	2001	103.99
WAL MART STORES INC		2001	2001	17.55
Total Line 1 Ordinary dividends (less line 5)				$ 463.65
				**Indicates corrected item.
ALLIANCE TECHNOLOGY FUND INC		2001	2001	8.08
INVESTMENT CO AMER		2001	2001	57.47**
MUNDER NETNET FUND CLASS A		2001	2001	1.17
Total Line 2a Total capital gain distributions (less lines 2b, 2c, 2d, 2e)				$ 66.72
				**Indicates corrected item.
INVESTMENT CO AMER		2001	2001	47.99**
Total Line 2c Qualified 5 - year gain				$ 47.99
				**Indicates corrected item.

Interest Income Details Reported on Form 1099-INT

For clients holding REMICs / Other CDOs: you may receive a corrected Consolidated Form 1099 in March. This Form will contain a Supplemental Information Statement comprised of rate accruals provided to us by the issuer(s) agents. This is information that is not available in January and is necessary for individual tax filing purposes. See enclosure for more information.

Description	Additional Information	Year paid	Tax year	Amount
INTEREST ON CREDIT BALAN		2001	2001	.85
Total Line 1 Interest income (less lines 1 and 3)				$ 0.85

Proceeds from Broker Transactions Details Reported on Form 1099-B

"Net proceeds" is the amount reported to the IRS. Accrued interest is reported on Form 1099-INT and details are also included in that Form's detail section.

Date of sale or activity (Line #1a)	Activity	Quantity/ Face value	Description (Line #5)	Cusip number (Line #1b)	Net proceeds (Line #2)	Accrued interest	Federal income tax withheld (Line #4)
06/05/01	Sell		AT&T WIRELESS GROUP * N/C 7/01	001957406	3.63	.00	.00
			Total		$ 3.63	$ 0.00	$ 0.00

2001 Year-End Summary

WS Griffith and Co., Inc.
Member NASD, SIPC
Account carried by Correspondent Services Corporation (csc)

W.S. GRIFFITH & CO., INC.
3131 CAMINO DEL RIO N.STE 400
SAN DIEGO, CALIFORNIA 92108

NCZL225685-X6 - 1201 - L4 - 0

Account Number L4 29238 CX

NCZL225685-X6

Your Investment Representative
BRASSERT/BANK BLOOMFIELD HILLS 810-285-8100/FAX-810-285-8300

SANDRA R KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302-1459

Important Tax-Planning Information

Please keep this statement for use with your 1099.

Activity highlights

		Year-to-date
Withdrawals	$	-3,561.53
Resource Management Account fee		-85.00
Securities transferred out (valued at time of transfer)		-69,427.57
Net change from activity listed above	$	-73,094.10

Portfolio summary

		Year-to-date
Opening value	$	92,706.61
Net change from Activity Highlights		-73,094.10
Change in value of investments		-19,612.51
Value on December 31	$	.00

Earnings summary

		Paid in 2001
Taxable		
Dividends	$	463.65
Interest		.85
Other		114.71
Total taxable security earnings	$	579.21
Total current year security earnings	$	579.21
Prior year(s) adjustments		5.88
Net security earnings	$	585.09

Important message:
Clients with account balances or activity in December should refer to the monthly statement following the Year-End Summary.

2541

011231 270 071123870
WS GRIFFITH SECURITIES, INC.
3131 CAMINO DEL RIO NORTH
SUITE 400
SAN DIEGO, CA 92108

Account Number WRN-132047

WS Griffith

SANDRA R KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302

YOUR INVESTMENT REPRESENTATIVE
M BRASSERT/BANK BLOOMFIELD
RIO:4CX

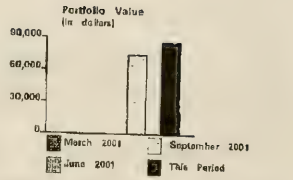
FOR QUESTIONS OR UP-TO-DATE ACCOUNT INFORMATION:
Local 248 644 2301

Statement Date:12/01/01 to 12/31/01

SNAPSHOT

TOTAL PORTFOLIO
$87,898.02

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents	$8,438.29	$8,414.08
Securities	$79,459.73	$78,654.23
TOTAL PORTFOLIO VALUE	$87,898.02	$87,068.31



A portfolio value less than "100" may not be displayed.

ACCOUNT ACTIVITY	This Period	Year-To-Date
Net Trading	($2,143.34)	($7,016.75)
Net Additions and Withdrawals	$0.00	$4,795.57
Net Income and Expenses	$2,143.34	$2,221.18

LEGEND
( ) Numbers in parentheses are debits or subtractions
WS = National Financial Services LLC

Account carried with National Financial Services LLC, Member NYSE, SIPC

2542

Account Number WRN-132047
Account Name: KNOLLENB S
Statement Date: 12/01/2001 to 12/31/2001

WS Griffith

SUMMARY

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents		
Money Markets	$8,438.29	$9,414.08
Securities		
Equities		
Equity	$14,770.45	$14,821.52
Mutual Funds		
Equity	$64,689.28	$63,832.71
Total Securities	$79,459.73	$78,654.23
TOTAL PORTFOLIO VALUE	$87,898.02	$87,068.31

ACCOUNT ACTIVITY	This Period	Year-to-Date
BEGINNING BALANCE	$0.00	
Trading		
Securities Purchased	($2,143.34)	($7,016.76)
NET TRADING	($2,143.34)	($7,016.75)
Additions and Withdrawals		
Deposits	$0.00	$4,791.02
Other Additions and Withdrawals	$0.00	$4.55
NET ADDITIONS AND WITHDRAWALS	$0.00	$4,795.57
Income and Expenses		
Taxable Income		
Taxable Dividends	$120.37	$198.21
Long-Term Capital Gain	$1,990.26	$1,990.26
Short-Term Capital Gain	$32.71	$32.71
NET TAXABLE INCOME	$2,143.34	$2,221.18
NET INCOME AND EXPENSES	$2,143.34	$2,221.18
ENDING BALANCE	$0.00	

ALERT: Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in January of the subsequent year.

PORTFOLIO ALLOCATION

Money Markets	9.60%
Equity	90.40%

Allocations for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Account Number: WRN-132047
Account Name: KNOLLENB S
Statement Date: 12/01/2001 to 12/31/2001

WS Griffith

DETAIL

PORTFOLIO VALUE

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

CASH AND CASH EQUIVALENTS 9.60%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income
Money Markets						
PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 1.31% Dividend Option Reinvest	FPRXX CASH	8,436.29	$1.00	$8,436.29	$8,414.08	
Total Cash and Cash Equivalents				$8,436.29 ✓		

EQUITIES 16.80%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
AT&T WIRELESS SVCS INC NFS IS SPECIALIST Dividend Option Cash	AWE MARGIN	66	$14.37	$577.16	$249.98		$3,026.63 T	($2,059.37)
CISCO SYS INC NFS LLC IS A MARKET MAKER IN THIS SECURITY Dividend Option Cash	CSCO MARGIN	96	$18.18	$1,739.56	$1,982.24			
DU PONT E I DE NEMOURS & CO NFS IS A SPECIALIST Dividend Option Cash	DD MARGIN	48	$42.91	$1,742.91	$1,917.94		$2,982.52 T	($1,239.61)
GENERAL ELECTRIC CO NFS IS A SPECIALIST Dividend Option Cash Next Dividend Payable: 01/28/02	GE MARGIN	84	$40.68	$3,368.72	$3,234.00		$2,979.03 T	$387.69

WS Griffith Securities, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

Account Number WRN-132047
Account Name: KNOLLENB S
Statement Date: 12/01/2001 to 12/31/2001

WS Griffith

DETAIL

EQUITIES 16.80%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
MICROSOFT CORP NFS LLC IB A MARKET MAKER IN THIS SECURITY Dividend Option Cash	MSFT MARGIN	35	$66.23	$2,318.05	$2,247.20		$2,861.32 T	($543.27)
SUN MICROSYSTEMS INC NFS LLC IB A MARKET MAKER IN THIS SECURITY Dividend Option Cash	SUNW MARGIN	72	$12.08	$865.80	$1,029.60			
WAL-MART STORES INC NFS IB SPECIALIST Dividend Option Cash Next Dividend Payable: 01/07/02	WMT MARGIN	66	$57.95	$3,248.35	$3,964.75		$3,015.64 T	$721.91
Total Equities				$14,770.49 ✓				

MUTUAL FUNDS 73.60%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
AMERICAN INVESTMENT CO OF AMERICA CL A Dividend Option Reinvest	AINSX CASH	456.417	$28.53	$13,021.58	$12,945.51		$15,723.04 T	($2,702.46)
ALLIANCE TECHNOLOGY CLASS A Dividend Option Reinvest	ALTFX CASH	80.674	$67.32	$5,108.55	$6,033.93		$7,867.01 T	($1,758.46)
FIDELITY ADVISOR HEALTH CARE CLASS A Dividend Option Reinvest	FACDX CASH	218.765	$20.18	$14,213.24	$14,643.33		$14,015.91 T	$197.33
JOHN HANCOCK REGIONAL BANK CL A Dividend Option Reinvest	FRBAX CASH	325.603	$38.58	$12,561.07	$12,191.94		$16,731.68 T	($4,169.62)
GABELLI VALUE FD INC Dividend Option Reinvest	GABVX CASH	383.478	$18.43	$15,833.18	$18,323.36			

WS Griffith Securities, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

WS Griffith

DETAIL

MUTUAL FUNDS 73.60%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
MUNDER NLT NET CLASS A	MNRAK	158.002	$17.99	$2,842.96	$2,753.59		$7,147.03 T	($4,278.17)
Dividend Option Reinvest	CASH							
Total Mutual Funds				$64,699.29				
Total Securities				$79,459.73				
TOTAL PORTFOLIO VALUE				$87,496.92				

ACCOUNT ACTIVITY

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

TRADING

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/14/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	14.35	($14.35)		
12/14/01	CASH	REINVESTMENT	JOHN HANCOCK REGIONAL BANK CL A REINVESTED @ $37.94	0.987	($37.62)	$37.62	$0.00
12/18/01	CASH	REINVESTMENT	JOHN HANCOCK REGIONAL BANK CL A REINVESTED @ $37.94	36.493	($1,384.61)	$1,384.61	$0.00
12/18/01	CASH	REINVESTMENT	AMERICAN INVESTMENT CO OF AMERICA CL A REINVESTED @ $28.24	2.964	($83.74)	$83.74	$0.00
12/18/01	CASH	REINVESTMENT	AMERICAN INVESTMENT CO OF AMERICA CL A REINVESTED @ $28.24	5.542	($157.08)	$157.08	$0.00

WS Griffith Securities, Inc.
Account carried with National Financial Services LLC, Member NYSE, SIPC

2546

WS Griffith

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/27/01	CASH	REINVESTMENT	GABELLI VALUE FD INC REINVESTED @ $10.81 AS OF 12/27/01	3.891	($32.71)	$32.71	$0.00
12/27/01	CASH	REINVESTMENT	GABELLI VALUE FD INC REINVESTED @ $10.81 AS OF 12/27/01	37.17	($448.87)	$448.87	$0.00
12/31/01	CASH	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	0.01	($0.00)		
Net Securities Purchased					($2,143.34)		
NET TRADING					($2,143.34)		

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
12/14/01	MARGIN	DIVIDEND RECEIVED	DU PONT E I DE NEMOURS & CO INFS IS A SPECIALIST		$14.39
12/14/01	CASH	DIVIDEND RECEIVED	JOHN HANCOCK REGIONAL BANK CL A		$27.92
12/18/01	CASH	DIVIDEND RECEIVED	AMERICAN INVESTMNT CO OF AMERICA CL A		$55.34
12/31/01	CASH	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		$0.01
Long-Term Capital Gain					
12/14/01	CASH	LONG CAP GAIN	JOHN HANCOCK REGIONAL BANK CL A		$1,344.41
12/18/01	CASH	LONG CAP GAIN	AMERICAN INVESTMNT CO OF AMERICA CL A		$157.79
12/27/01	CASH	LONG CAP GAIN	GABELLI VALUE FD INC		$4.44.57
Short-Term Capital Gain					

Assets carried with National Financial Services LLC, Member NYSE, SIPC

2547

Account Number: WRN-132047
Account Name: KNOLLENB S
Statement Date: 12/01/2001 to 12/31/2001

WS|Griffith

DETAIL

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
12/27/01	CASH	SHORT CAP GAIN	GABELLI VALUE FD INC		$72.71
Net Taxable Income					$2,142.34
NET INCOME AND EXPENSES					$2,142.34

UNREALIZED GAIN (LOSS) LOT DETAIL

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost Basis information for debt securities has not been adjusted for amortization or accretion. This section is as of trade date.

EQUITIES

Description	Account Type	Date Acquired	Symbol/ Cusip	Price on 12/31/01	Quantity	Market Value	Cost Basis/ Proceeds		Unrealized Gain (Loss)	Holding Period
AT&T WIRELESS SVCS INC NFS LLC IS A SPECIAL	MARGIN	08/24/01	AWE	$14.37	68	$977.16	$3,036.53	T	($2,059.37)	LT
CISCO SYS INC NFS LLC IS A MARKET MAKER IN THIS SECURITY	MARGIN	09/24/01	CSCO	$18.11	96	$1,738.56	Unknown			
DU PONT E I DE NEMOURS & CO NFS IS A SPECIALIST	MARGIN	09/24/01	DD	$42.51	41	$1,742.91	$2,962.52	T	($1,219.61)	LT
GENERAL ELECTRIC CO NFS IS A SPECIALIST	MARGIN	09/24/01	GE	$40.08	96	$3,847.72	$3,879.03	T	$968.69	LT
MICROSOFT CORP NFS LLC IS A MARKET MAKER IN THIS SECURITY	MARGIN	09/24/01	MSFT	$68.25	36	$2,457.00	$2,461.32	T	($5412.97)	LT
SUN MICROSYSTEMS INC NFS LLC IS	MARGIN	09/24/01	SUNW	$12.24	72	$881.8	Unknown			

WS Griffith Securities, Inc.
Account carried with National Financial Services LLC, Member NYSE, SIPC

Account Number WRN-132047
Account Name: KNOLLENB S
Statement Date: 12/01/2001 to 12/31/2001

WS Griffith

DETAIL

EQUITIES

Description	Account Type	Date Acquired	Symbol/ Cusip	Price on 12/31/01	Quantity	Market Value	Cost Basis/ Proceeds		Unrealized Gain (Loss)	Holding Period
A MARKETMAKER IN THIS SECURITY										
WAL-MART STORES INC NFS IS SPECIALIST	MARGIN	09/24/81	WMT	$57.50	65	$3,740.75	$3,016.84	T	$724.91	LT
Total Equities					461	$14,778.45000	Unknown			

MUTUAL FUNDS Average Cost Single Category

Description	Account Type		Symbol/ Cusip	Price on 12/31/01	Quantity	Market Value	Cost Basis/ Proceeds		Unrealized Gain (Loss)	Holding Period
AMERICAN INVESTMNT CO OF AMERICA CL A			AIVSX	$28.53	17.015	$485.43795	$494.21	T	($108.78)	ST
					473.402	$12,534.15906	$15,726.82	T	($3,192.66)	LT
	Position Total		AIVSX		490.417	$13,021.57701	$15,325.04		($2,303.46)	
ALLIANCE TECHNOLOGY CLASS A			ALTFX	$67.22	8.174	$549.59269	$510.73	T	($2.33)	ST
					22.70	$1,526.2150	$1,556.18	T	($31.96)	LT
	Position Total		ALTFX		30.874	$2,109.39428	$2,067.01		($34.29)	
FIDELITY ADVISOR HEALTH CARE CLASS A			FACDX	$20.18	710.289	$14,343.2377	$14,032.39	T	$307.84	LT
JOHN HANCOCK REGIONAL BANK CL A			FRBAX	$30.59	40.284	$1,231.50956	$1,219.49	T	($619.23)	ST
					244.719	$10,087.30021	$11,631.40	T	($1,610.40)	LT
	Position Total		FRBAX		285.003	$12,318.80977	$12,731.89		($2,229.63)	
GABELLI VALUE FD INC			GABVX	$18.42	663.674	$12,229.18382	Unknown			
NEUBERGER NER NIST CLASS A			NMNAX	$17.30	0.007	$0.12566	$0.12	T	($0.10)	ST
					157.995	$2,846.7588	$7,136.73	T	($4,289.97)	LT
	Position Total		NMNAX		158.002	$2,846.87566	$7,137.05		($4,290.18)	
Total Mutual Funds					2,784.735	$54,969.27014	Unknown			

WS Griffith Securities, Inc.
Account carried with National Financial Services LLC, Member NYSE, SIPC

WS Griffith

DETAIL

FOOTNOTE AND COST BASIS INFORMATION

Cost basis and gain(loss) information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time the statement is issued. The information may not reflect all adjustments or reportable transactions that are required for tax purposes and may not be accurate for tax reporting purposes. It is not a substitute for your own tax records. If you have any questions about your specific tax situation, please consult your tax advisor. Cost basis information is not adjusted for investments in Master Limited Partnerships (MLPs). In order to calculate basis for MLPs, you will need supplemental information from the partnership related to the income and distributions during the period you held your investment.

T - This information has been provided by a third party. Your Broker/Dealer and NFS are not responsible for its accuracy. LT - Long-Term (Held more than twelve months). ST - Short-term (Held twelve months or less).

MESSAGES

WITH ALL THE TAX LAW CHANGES IN 2002, IS YOUR FINANCIAL STRATEGY HELPING YOU TAKE ADVANTAGE OF THE BENEFITS? THIS MAY BE GOOD TIME TO REVIEW YOUR FINANCIAL GOALS WITH YOUR WS GRIFFITH ADVISOR

2550

WS Griffith Securities, Inc.
Account carried with National Financial Services LLC, Member NYSE, SIPC

0116778 000254616

National Financial Services LLC

Brokerage Name and Address:
WS GRIFFITH SECURITIES, INC.
3131 CAMINO DEL RIO NORTH
SUITE 400
SAN DIEGO, CA 92108

2001 Tax Reporting Statement

Account No.	Taxpayer ID.	Page
WAN-132047	375-38-9786	1 of 2

Payer's Name and Address:
NATIONAL FINANCIAL SERVICES LLC
200 LIBERTY ST. 5TH FLR
NEW YORK, NY 10281-5500

0116778 02 AT 0.439 7 1 0 48302-146320 C A 054901
SANDRA A KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302-1459

Federal ID Number: 04-3523567

Customer Service:

30503

Form 1099-DIV * 2001 Dividends and Distributions	OMB NO. 1545-0110 Copy B for Recipient	Amount
1 Ordinary Dividends		230.92
2a Total Capital Gain Distributions(Includes 2b - 2e)		2,048.08
2b Capital Gains that represent 28% Rate Gain		0.00
2c Capital Gains that represent Qualified 5-Year Gain		1,333.99
2d Capital Gains that represent Unrecaptured Section 1250 Gain		0.00
2e Capital Gains that represent Section 1202 Gain		0.00
3 Non-Taxable Distributions		0.00
4 **Federal Income Tax Withheld**		**0.00**
5 Investment Expenses		0.00
6 Foreign Tax Paid		0.00
7 Foreign Country or U.S. Possession		
8 Cash Liquidation Distributions		0.00
9 Non-Cash Liquidation Distributions		0.00

Form 1099-INT * 2001 Interest Income	OMB NO. 1545-0112 Copy B for Recipient	Amount
1 Interest Income not Included in Line 3		0.00
2 Early Withdrawal Penalty		0.00
3 Interest on U.S. Savings Bonds and Treas. Obligations		0.00
4 Federal Income Tax Withheld		0.00
5 Investment Expenses		0.00
6 Foreign Tax Paid		0.00
7 Foreign Country or U.S. Possession		

Form 1099-MISC * 2001 Miscellaneous Income	OMB NO. 1545-0115 Copy B for Recipient	Amount
2 Royalties		0.00
4 **Federal Income Tax Withheld**		**0.00**

Summary of 2001 Proceeds From Broker and Barter Exchange Transactions	Amount
Gross Proceeds Less Commissions	0.00†
Federal Income Tax Withheld	**0.00†**

†Gross Proceeds from each of your security transactions are reported individually to the IRS. Refer to the 1099-B section of this statement. Report gross proceeds individually for each security on the appropriate IRS tax return. Do not report gross proceeds in aggregate.

Summary of 2001 Original Issue Discount	Amount
Total Original Issue Discount	0.00‡
Total Original Issue Discount on U.S. Treasury Obligations	0.00‡

‡Original Issue Discount (OID) amounts are reported individually to the IRS. Refer to the Original Issue Discount detail section of this statement.

*This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported. Please see the enclosed important instructions.

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National Financial Services LLC

2001 Supplemental Information

Account No.	Taxpayer ID.	Page
WRN-132047	375-38-9786	1 of 4

Customer Service:

SANDRA R KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302-1459

Detail Information — 1099-DIV — Dividends and Distributions

Description	CUSIP	Date	Amount	Total
This detail information is not reported to the IRS. It is provided for your assistance in tax return preparation.				
Ordinary Dividends - LINE 1				
Dividend Distributions				
DU PONT E I DE NEMOURS & CO	263534109	12/14/01	14.35	14.35
GENERAL ELECTRIC CO	369604103	10/25/01	13.44	13.44
JOHN HANCOCK REGIONAL BANK CL A	409905106	09/28/01	36.31	
		12/14/01	37.82	74.13
AMERICAN INVESTMNT CO OF AMERICA CL A	461308108	12/18/01	58.34	58.34
PRIME FUND - CAPITAL RESERVES CLASS	650914203	09/28/01	1.72	
		10/31/01	14.38	
		11/30/01	11.99	
		12/31/01	9.86	37.95
		Total Dividend Distributions		**198.21**
Short-Term Capital Gain Distributions				
GABELLI VALUE FD INC	36240H106	12/27/01	32.71	32.71
		Total Short-Term Capital Gain Distributions		**32.71**
		Total Ordinary Dividends - LINE 1		**230.92** #

Under the Internal Revenue Code, distributions of short-term gains are taxable as dividends and are reported on Line 1 of FORM 1099-DIV. Report Total Ordinary Dividends in aggregate on the appropriate IRS tax return. Do not separate dividend distributions from short-term capital gain distributions.

Capital Gain Distributions Subject to 20% Rate Gain				
The portion of the Cap. Gain Dist. subject to the 20% Rate Gain is equal to Line 2a less any amount shown on lines 2b - 2e				
JOHN HANCOCK REGIONAL BANK CL A	409905106	12/14/01	628.48	628.48
AMERICAN INVESTMNT CO OF AMERICA CL A	461308108	12/18/01	85.61	85.61
		Total Capital Gain Distributions Subject to 20% Rate Gain		**714.09**
Capital Gain Distributions (Qualified 5-Year Gain) LINE 2c				
GABELLI VALUE FD INC	36240H106	12/27/01	448.57	
		12/31/01	57.82	506.39
JOHN HANCOCK REGIONAL BANK CL A	409905106	12/14/01	756.13	756.13

National Financial Services LLC

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2001 Supplemental Information

Account No.	Taxpayer ID.	Page
WRN-132047	375-38-9786	2 of 4

SANDRA R KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302-1459

Customer Service:

Detail Information — 1099-DIV — Dividends and Distributions

Description	CUSIP	Date	Amount	Total
This detail information is not reported to the IRS. It is provided for your assistance in tax return preparation.				
Capital Gain Distributions (Qualified 5-Year Gain) LINE 2c				
AMERICAN INVESTMNT CO OF AMERICA CL A	461308108	12/18/01	71.47	71.47
Total Capital Gain Distributions (Qualified 5-Year) Gain - LINE 2c				1,333.99 #

Refer to the enclosed *Understanding Your 2001 Tax Statement* brochure for more information.

Total Long-Term Capital Gain Distributions - LINE 2a (Includes 2b - 2e) 2,048.08

C116775 0902284514

National Financial Services LLC

2001 Supplemental Information		
Account No.	Taxpayer ID.	Page
WRN-132047	375-38-9786	3 of 4

SANDRA R KNOLLENBERG
1130 PARK PLACE CRT
BLOOMFIELD HILLS MI 48302-1459

Customer Service:

Other Information For Tax Return Preparation

Amount

The information on this and the following pages is not reported to the IRS.
It is provided for your assistance in tax return preparation.

Tax-Exempt Dividends and Interest	0.00
Margin Interest Paid	0.00
Return of Principal	0.00
Non-Reportable Option Sales	0.00
Purchase Detail(Including Commissions) - Cost Less Accrued Interest Paid	2,213.26
- Accrued Interest Paid	0.00

2001 Purchase Detail (Including Commissions)

This information is not reported to the IRS. It is provided for your assistance in tax return preparation.

Description	CUSIP	Quantity	Date of Purchase	Purchase Cost ††	Accrued Interest Paid
GABELLI VALUE FD INC	36240H106	27.17000	12/27/01	448.57	0.00
		1.98100	12/27/01	32.71	0.00
		3.51900	12/31/01	57.82	0.00
JOHN HANCOCK REGIONAL BANK CL A	409905106	0.88800	09/28/01	36.31	0.00
		36.49500	12/14/01	1,384.61	0.00
		0.99700	12/14/01	37.82	0.00
AMERICAN INVESTMNT CO OF AMERICA CL A	461308108	5.56200	12/18/01	157.08	0.00
		2.06600	12/18/01	58.34	0.00
			Total	2,213.26	0.00

†† *Includes commissions, and is less Accrued Interest Paid, if applicable.*

Wilson, Kemp & Associates Inc.
PORTFOLIO SUMMARY
JOSEPH K. KNOLLENBERG, IRA ROLLOVER
December 31, 2001

Security Type	Total Cost	Market Value	Pct Assets	Est. Annual Income
Equities				
Common Stock				
Cyclical Industries	128,125	156,611	16.75	3,657
Finance	14,394	39,158	4.19	644
Science & Technology	243,067	243,923	26.09	1,760
Service & Consumer	103,475	124,276	13.29	1,458
Utilities	50,224	31,595	3.38	903
	539,285	595,563	63.70	8,423
Calls	-10,277	-3,455	-0.37	
	529,008	592,108	63.33	8,423
Bonds				
Government Bonds				
Bonds - Government	152,090	158,734	16.98	10,005
	152,090	158,734	16.98	10,005
Accrued Interest		3,252	0.35	
	152,090	161,986	17.32	10,005
Cash Equivalents				
Cash	180,919	180,919	19.35	2,714
	180,919	180,919	19.35	2,714
TOTAL PORTFOLIO	**862,017**	**935,014**	**100.00**	**21,141**

2555

Wilson, Kemp & Associates Inc.
PORTFOLIO APPRAISAL
JOSEPH K. KNOLLENBERG, IRA ROLLOVER
December 31, 2001

Quantity	Security	Total Cost	Market Value	Annual Income
Common Stock				
Cyclical Industries				
1,100	Barnes Group	18,759	26,389	880
500	Emerson Electric Company	24,927	28,550	775
1,000	Engelhard Corporation	21,245	27,680	400
450	Kimberly Clark Corp.	21,649	26,910	540
1,500	Rockwell Automation Inc	21,349	26,790	990
600	Transocean Offshore Inc.	20,196	20,292	72
		128,125	156,611	3,657
Finance				
700	Morgan Stanley Dean Witter	14,394	39,158	644
Science & Technology				
2,000	Compuware Corporation	25,804	23,580	0
450	Electronic Data Systems Corp.	19,101	30,847	270
1,000	Gartner Group	23,377	11,690	0
1,000	Intel Corporation	19,492	31,450	80
300	International Business Machines	30,496	36,288	156
600	Johnson & Johnson	20,755	35,460	432
850	Lucent Technologies Inc.	35,985	5,355	0
400	Merck & Company	25,753	23,520	560
400	Microsoft Corporation	24,654	26,500	0
350	Schlumberger Ltd.	17,650	19,232	262
		243,067	243,923	1,760
Service & Consumer				
900	Disney (Walt) Company	19,078	18,648	189
1,125	Paychex Inc.	20,914	39,206	495
600	Pepsico, Incorporated	19,724	29,214	348
400	United Parcel Service Cl B	21,504	21,800	304
600	Vodafone Group PLC	22,255	15,408	122
		103,475	124,276	1,458

Wilson, Kemp & Associates Inc.

PORTFOLIO APPRAISAL

JOSEPH K. KNOLLENBERG, IRA ROLLOVER

December 31, 2001

Quantity	Security	Total Cost	Market Value	Annual Income
Utilities				
350	Dominion Resources	21,226	21,035	903
750	Worldcom Inc. - Worldcom Group	28,998	10,560	0
		50,224	31,595	903
Total Common Stock		539,285	595,563	8,423
Government Bonds				
Bonds - Government				
50,000	U.S. Treasury Notes 6.000% Due 07-31-02	51,568	51,234	3,000
50,000	U.S. Treasury Notes 7.000% Due 07-15-06	50,517	55,406	3,500
50,000	Federal Home Loan Banks 7.010% Due 11-22-06	50,004	52,094	3,505
		152,090	158,734	10,005
	Accrued Interest		3,252	
Total Government Bonds		152,090	161,986	10,005
Cash				
	Cash & Equivalents	180,919	180,919	2,714
Calls				
-20	Call: Compuware (CWQ) Feb 02 @ 15	-4,515	-100	
-10	Call: Engelhard Jul @ 30 Exp 7-20-02	-1,445	-1,650	
-10	Call: Intel Jan @ 35 Exp 1-19-02	-2,045	-200	
-7	Call: Morgan Stanley July @ 70 Exp 7-20-02	-2,270	-1,505	
Total Calls		-10,277	-3,455	
TOTAL PORTFOLIO		**862,017**	**935,014**	**21,141**

Wilson, Kemp & Associates Inc.

PURCHASE AND SALE

JOSEPH K. KNOLLENBERG, IRA ROLLOVER

From 01-01-01 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
PURCHASES					
10-30-01	11-02-01	1,500	Rockwell Automation Inc	14.23	21,349
11-27-01	11-30-01	350	Dominion Resources	60.65	21,226
11-27-01	11-30-01	900	Disney (Walt) Company	21.20	19,078
					61,653
SALES					
01-19-01	01-24-01	57	Avaya Inc.	13.48	768
03-22-01	03-27-01	1,300	Allstate Corporation	39.14	50,876
03-22-01	03-27-01	900	Sigma Aldrich Corporation	43.75	39,371
06-30-01	06-30-01	50,000	U.S. Treasury Notes 6.625% Due 06-30-01	100.00	50,000
10-30-01	11-02-01	30	Worldcom Inc. - MCI Group	9.97	299
					141,314
SHORT SALES					
05-25-01	05-29-01	20	Call: Compuware Aug 01 @ 12 1/2	0.82	1,635
05-25-01	05-29-01	10	Call: Engelhard Oct @ 30 Exp 10-19-02	1.35	1,345
07-20-01	07-23-01	10	Call: Intel Jan @ 35 Exp 1-19-02	2.05	2,045
08-01-01	08-02-01	20	Call: Compuware (CWQ) Feb 02 @ 15	2.26	4,515
11-27-01	11-28-01	10	Call: Engelhard Jul @ 30 Exp 7-20-02	1.45	1,445
11-27-01	11-28-01	7	Call: Morgan Stanley July @ 70 Exp 7-20-02	3.24	2,270
					13,258
SHORT COVERS					
08-01-01	08-02-01	20	Call: Compuware Aug 01 @ 12 1/2	1.64	3,284
10-20-01	10-20-01	10	Call: Engelhard Oct @ 30 Exp 10-19-02	0.00	0
					3,284

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

Form A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 13 PM 3:09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

27

James Thomas Kolbe
(Full Name)

2266 Rayburn House Office Building
(Mailing Address)

Washington DC 20515

Daytime Telephone: 202-225-2542

Filer Status: [X] Member of the U.S. House of Representatives — State: AZ District: 05 — [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [X]

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule I** — Yes [ ] No [X]

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** — Yes [X] No [ ]

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.** — Yes [X] No [ ]

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** — Yes [ ] No [X]

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** — Yes [ ] No [X]

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.** — Yes [X] No [ ]

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** — Yes [X] No [ ]

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** — Yes [ ] No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes [ ] No [X]

EXEMPTION Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes [ ] No [X]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (see 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

CERTIFICATION	SIGNATURE OF REPORTING INDIVIDUAL	DATE (Month/Day/Year)
I CERTIFY that the statements I have made on this form, and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim Kolbe	MAY 13, 2002

2559

Name James Thomas Kolbe | Page 2 of 27

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transaction**
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e. one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.	at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For retirement plans that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP, DC, JT *Examples:* Mega Corp. Stock	$15,001 - $50,000	Dividends	$201 - $1,000	P
SP 123 Main St., Dover, Del.	$250,001 - $500,000	Rent	$1,001 - $2,500	
1st Bank of Paducah, KY accounts	$50,001 - $100,000	Interest	$5,001 - $15,000	
1/3 interest in 300 acres of land, Sonoita, AZ	$100,001 - $250,000	Grazing Fee	$1 - $200	
Wright Patman FCU - Checking & Savings, Washington, DC	$1,001 - $15,000	Interest	$1 - $200	
Compass Bank - Checking & Savings, Tucson, AZ	$1,001 - $15,000	Interest	$1 - $200	
Exeter Real Estate Investors XX - Limited Partnership	$15,001 - $50,000	None	None	

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Rental of Efficiency Apartment attached to Residence, 519 East Capitol Street, SE, Washington, DC	$250,001 - $500,000	Rent	$5,001 - $15,000	
Golder Ranch Assoc., Limited Partnership - 1/2 unit	$1,001 - $15,000	None	None	
Wood Canyon Corp. - 5% of outstanding stock	$50,001 - $100,000	None	None	
ABN Amro Holdings	$1,001 - $15,000	None	None	P
Air Pdts & Chemicals	$1,001 - $15,000	Dividends	$1 - $200	P
Albertsons	$1,001 - $15,000	Dividends	$1 - $200	P
Aliete	$1,001 - $15,000	None	None	P
Allstate	$1,001 - $15,000	None	None	P
American International Group	$1,001 - $15,000	Dividends	$1 - $200	P
American Movil	$1,001 - $15,000	Dividends	$1 - $200	P
AOL-Time Warner	$1,001 - $15,000	None	None	P
Aptargroup	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Archer Daniels Midland	$1,001 - $15,000	Dividends	$1 - $200	P
Astoria Financial	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Automatic Data Processing	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Banco Bilbao Vizcaya	$1,001 - $15,000	None	None	P
Bank One	$1,001 - $15,000	Dividends	$1 - $200	P
Bay View Capital	$1,001 - $15,000	None	None	P

SCHEDULE III – ASSETS AND "UNEARNED" INCOME

Boeing	$1,001 - $15,000	None	None	P
Brasil Telecom Partners	$1,001 - $15,000	None	None	P
Bristol Myers Squibb	$1,001 - $15,000	Dividends	$1 - $200	P
British American Tobacco	$1,001 - $15,000	Dividends	$1 - $200	P
Cardinal Health	$1,001 - $15,000	Dividends	$1 - $200	P
Caremark Rx	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
Centrais Eletricas Brasileiras	$1,001 - $15,000	None	None	P
Chandler AZ Water & Sewer Bonds	None	Interest	$1,001 - $2,500	Redeemed
Choicepoint	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
Cisco Systems	$1,001 - $15,000	None	None	P
Clorox	None	Capital Gains and Dividends	$201 - $1,000	P AND S
Cognizant Technology Solutions	$1,001 - $15,000	None	None	P
Coherent	$1,001 - $15,000	None	None	P AND S
Colgate-Palmolive	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Conagra Food	$1,001 - $15,000	Dividends	$1 - $200	P
Delaware Group Trend Fund	None	Capital Gains	$5,001 - $15,000	S
Diageo	$1,001 - $15,000	Dividends	$1 - $200	P
Doral Financial	$1,001 - $15,000	Dividends	$1 - $200	P AND S
E On Ag	$1,001 - $15,000	None	None	P

SCHEDULE III – ASSETS AND "UNEARNED" INCOME

Electronic Data Systems	$1,001 - $15,000	Dividends	$1 - $200	P
Eni Spa	$1,001 - $15,000	Dividends	$1 - $200	P
Exelon	$1,001 - $15,000	None	None	P
Fannie Mae	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Financing Corp. CPN FICO Series 14	$1 - $1,000	None	None	
Financing Corp. CPN FICO Series 15	$1 - $1,000	None	None	
Great Hall Investment Funds Money Market	$15,001 - $50,000	Dividends	$201 - $1,000	
HCC Insurance Holdings	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P AND S
Healthsouth	$1,001 - $15,000	None	None	
Heller Financial	None	Capital Gains and Dividends	$1,001 - $2,500	P AND S
Hewlett-Packard	$1,001 - $15,000	None	None	P
Home Depot	$1,001 - $15,000	Capital Gains and Dividends	$15,001 - $50,000	S
HSBC Holdings	$1,001 - $15,000	None	None	P
International Business Machines	$1,001 - $15,000	Dividends	$1 - $200	P
IBP (became Tyson Foods)	$1,001 - $15,000	Dividends	$1 - $200	P
Investment Company of America	None	Capital Gains and Dividends	$50,001 - $100,000	S
Infocus	$1,001 - $15,000	None	None	P AND S
Insight Enterprises	$1,001 - $15,000	None	None	P AND S
Insured Muni Income Tr. Series 178	None	Interest	$1 - $200	S
Johnson & Johnson	$1,001 - $15,000	Dividends	$1 - $200	P

SCHEDULE III – ASSETS AND "UNEARNED" INCOME

L 3 Communications	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
Legg Mason	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P AND S
Lockheed Martin	None	Capital Gains and Dividends	$201 - $1,000	P AND S
Marks & Spencer	$1,001 - $15,000	None	None	P
MBNA	$1,001 - $15,000	Dividends	$1 - $200	P
McDonalds	$1,001 - $15,000	None	None	P
Medtronic	$1,001 - $15,000	Capital Gains and Dividends	$100,001 - $1,000,000	S
Merck & Company	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Metro One Telecommunications	$1,001 - $15,000	None	None	P AND S
Mexico Fund Mutual Fund	None	Capital Gains and Dividends	$5,001 - $15,000	S
Microsoft	$1,001 - $15,000	None	None	P
Motorola	$1,001 - $15,000	Dividends	$1 - $200	P
Nokia	$1,001 - $15,000	None	None	P
Northrop Grumman	$1,001 - $15,000	None	None	P
Omnicare	$1,001 - $15,000	Dividends	$1 - $200	P
Owens & Minor	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Pepsico	$1,001 - $15,000	Dividends	$1 - $200	P
Performance Food Group	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
Perot Systems	$1,001 - $15,000	None	None	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Pfizer	$1,001 - $15,000	Dividends	$1 - $200	P
Pacific Gas & Electric	$1,001 - $15,000	None	None	P
Prudential Financial	$1,001 - $15,000	None	None	P
RBC Dain Rauscher - Cash (formerly Dain Rauscher Daily Accumulation Fund	$50,001 - $100,000	None	None	
Raytheon	$1,001 - $15,000	Dividends	$1 - $200	P
Reynolds & Reynolds	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Richmond City Financial (became New York Community Bancorp)	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P AND S
Safeco	$1,001 - $15,000	Dividends	$1 - $200	P
Sherwin Williams	$1,001 - $15,000	Dividends	$1 - $200	P
Sonicwall	$1,001 - $15,000	None	None	P
Sovereign Bancorp	$1,001 - $15,000	Dividends	$1 - $200	P
Sprint Corporation FON Group	$1,001 - $15,000	Dividends	$1 - $200	P
State Street	$1,001 - $15,000	Dividends	$1 - $200	P AND S
Stericycle	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
Sun Microsystems	$1 - $1,000	None	None	P
Syncor International	$1,001 - $15,000	None	None	P AND S
Target	$1,001 - $15,000	Dividends	$1 - $200	P
Telefonos de Mexico	$1,001 - $15,000	Dividends	$1 - $200	P
Tokio Marine & Fire	$1,001 - $15,000	None	None	P

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Toys R Us	$1,001 - $15,000	None	None	P
Tyco International	$1,001 - $15,000	Dividends	$1 - $200	P
Unilever	$1,001 - $15,000	Dividends	$1 - $200	P
Unisys	$1,001 - $15,000	None	None	P
United Stationers	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
UST	$1,001 - $15,000	Dividends	$1 - $200	P
Varian	$1,001 - $15,000	Capital Gains	$1 - $200	P AND S
Wal-Mart Stores	$1,001 - $15,000	Dividends	$1 - $200	P
Waste Management	$1,001 - $15,000	Dividends	$1 - $200	P
Wells Fargo & Company	$1,001 - $15,000	Dividends	$1 - $200	P
Xerox	$1,001 - $15,000	None	None	P
AIM Global Telecommunications & Technology Fund	None	None	None	S
Alliance Premier Growth Fund	$15,001 - $50,000	None	None	P
Alliance Worldwide Privatization Fund	$1,001 - $15,000	None	None	
ANZ Exchangeable Preferred Stock	$1,001 - $15,000	Interest	$201 - $1,000	P
BHP Billiton Limited Stock (formerly Broken Hill Proprietary Stock)	$1,001 - $15,000	Dividends	$1 - $200	
BSCH Finance Limited Preferred Stock	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Easton Vance Greater China Growth Fund	None	None	None	S

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Easton Vance Tax Managed Growth Fund	$1,001 - $15,000	None	None	P
Esterline Technologies	$1,001 - $15,000	None	None	
Evergreen Blue Chip Fund	None	Interest	None	S
Merrill Lynch Bank USA Retirement Account (formerly Retirement Account Money Fund)	$15,001 - $50,000	Dividends	$201 - $1,000	
Merrill Lynch Banking Advantage	$1,001 - $15,000	Interest	$1 - $200	
Merrill Lynch Basic Value Fund Mutual Fund (Class B)	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
Merrill Lynch Basic Value Fund Mutual Fund (Class D)	$15,001 - $50,000	Capital Gains and Dividends	$2,501 - $5,000	
Merrill Lynch Bond Fund High Income Portfolio	$1,001 - $15,000	Interest	$201 - $1,000	P
Merrill Lynch Corporate Bonds	None	Interest	$1,001 - $2,500	Redeemed
Merrill Lynch Fund Retirement Plus Annuity Account	$50,001 - $100,000	None	None	P
Merrill Lynch Global Allocation	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Merrill Lynch Quality Equity	None	None	None	S
Motorola	$15,001 - $50,000	Dividends	$201 - $1,000	
Muniyield Arizona Fund	$15,001 - $50,000	Dividends	$1,001 - $2,500	
Pacific Telesis Preferred Securities	None	Dividends	$1 - $200	Liquidated
Scudder Latin America Fund	$1,001 - $15,000	Dividends	$1 - $200	

Name James Thomas Kolbe | Page 10 of 27

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	ABN Amro Holdins	Purchase	10/31	<$1,001
	Actrade Financial Techs	Purchase	5/30	$1,001 - $15,000
	Actrade Financial Techs	Sold	5/31, 12/31	$1,001 - $15,000
	Advanced Digital Information	Purchase	5/30	$1,001 - $15,000
	Advanced Digital Information	Sold	5/31, 8/1	<$1,001
	Air Pdts & Chemicals	Purchase	6/4	$1,001 - $15,000
	Albany Molecular Research	Purchase	5/30	$1,001 - $15,000
	Albany Molecular Research	Sold	5/21, 12/31	$1,001 - $15,000
	Albertsons	Purchase	6/4	$1,001 - $15,000
	Alcatel	Purchase	6/4	$1,001 - $15,000
	Alcatel	Sold	12/31	$1,001 - $15,000
	Allete	Purchase	12/11	$1,001 - $15,000
	Allstate	Purchase	12/31	$1,001 - $15,000
	American International Group	Purchase	6/4	$1,001 - $15,000
	American Movil	Purchase	6/4	$1,001 - $15,000
	Amgen	Purchase	6/4	$1,001 - $15,000

Name James Thomas Kolbe | Page 11 of 27

SCHEDULE IV – TRANSACTIONS

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SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Amgen	Sold	12/31	$1,001 - $15,000
	AOL Time Warner	Purchase	8/10, 11/14	$1,001 - $15,000
	Aptargroup	Purchase	5/30	$1,001 - $15,000
	Aptargroup	Sold	5/31	< $1,001
	Archer Daniels Midland	Purchase	6/4	$1,001 - $15,000
	Astoria Financial	Purchase	5/30	$1,001 - $15,000
	Astoria Financial	Sold	5/31	< $1,001
	Automatic Data Processing	Purchase	6/4	$1,001 - $15,000
	Automatic Data Processing	Sold	8/14	< $1,001
	Avocent	Purchase	5/30	$1,001 - $15,000
	Avocent	Sold	5/31, 7/10	$1,001 - $15,000
	BAE Systems	Purchase	6/4	$1,001 - $15,000
	BAE Systems	Sold	12/31	$1,001 - $15,000
	Banco Bilbao Vizcaya	Purchase	12/31	$1,001 - $15,000
	Bank One	Purchase	6/4	$1,001 - $15,000
	BASF	Purchase	6/4	$1,001 - $15,000

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SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	BASF	Sold	12/31	$1,001 - $15,000
	Bay View Capitol	Purchase	12/7	$1,001 - $15,000
	Benchmark Electronics	Purchase	5/30	$1,001 - $15,000
	Benchmark Electronics	Sold	5/31, 12/27	$1,001
	BJ's Wholesale Club	Purchase	5/30	$1,001 - $15,000
	BJ's Wholesale Club	Sold	5/31, 12/31	$1,001 - $15,000
	Boeing	Purchase	12/31	$1,001 - $15,000
	Brasil Telecom Partners	Purchase	6/4	$1,001 - $15,000
	Bristol Myers Squibb	Purchase	6/4	$1,001 - $15,000
	British American Tobacco	Purchase	6/4	$1,001 - $15,000
	British Telecom (became BT Group)	Purchase	6/19	$1,001 - $15,000
	BT Group (formerly British Telecom0	Sold	12/31	$1,001 - $15,000
	Calpine	Purchase	5/30	$1,001 - $15,000
	Calpine	Sold	5/31, 7/9, 12/31	$1,001 - $15,000
	Cambrex	Purchase	5/30	$1,001 - $15,000
	Cambrex	Sold	5/31, 12/31	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

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SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Cardinal Health	Purchase	6/4	$1,001 - $15,000
	Caremark Rx	Purchase	5/30	$1,001 - $15,000
	Caremark Rx	Sold	5/31	< $1,001
	Centrais Eletricas Brasileiras	Purchase	6/4	$1,001 - $15,000
	Chandler AZ Water & Sewer Bonds	Redeemed	7/2	$15,001 - $50,000
	Chiron	Purchase	5/30	$1,001 - $15,000
	Chiron	Sold	5/31, 12/31	$1,001 - $15,000
	Choicepoint	Purchase	5/30	$1,001 - $15,000
	Choicepoint	Sold	5/31	$1,001 - $15,000
	Cisco Systems	Purchase	6/4	$1,001 - $15,000
	Clorox	Purchase	6/4	$1,001 - $15,000
	Clorox	Sold	11/5	$1,001 - $15,000
	Coca-Cola	Purchase	6/4	$1,001 - $15,000
	Coca-Cola	Sold	8/9	$1,001 - $15,000
	Cognizant Technology Solutions	Purchase	9/5	$1,001 - $15,000
	Coherent	Purchase	5/30	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

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SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Coherent	Sold	5/31	< $1,001
	Colgate-Palmolive	Purchase	6/4	$1,001 - $15,000
	Colgate-Palmolive	Sold	8/1	< $1,001
	Conagra Food	Purchase	6/4	$1,001 - $15,000
	Convergys	Purchase	5/30	$1,001 - $15,000
	Convergys	Sold	5/31, 7/16	$1,001 - $15,000
	CVS	Purchase	6/4	$1,001 - $15,000
	CVS	Sold	10/4	< $1,001
	Delaware Group Trend Fund	Sold	5/25	$50,001 - $100,000
	Deutsche Telekom	Purchase	6/4	$1,001 - $15,000
	Deutsche Telekom	Sold	12/31	$1,001 - $15,000
	Diageo	Purchase	6/4	$1,001 - $15,000
	Walt Disney Co.	Purchase	6/4	$1,001 - $15,000
	Walt Disney Co.	Sold	9/20	$1,001 - $15,000
	Doral Financial	Purchase	10/25	$1,001 - $15,000
	Du Pont E I de Nemours	Purchase	6/4	$1,001 - $15,000

SCHEDULE IV – TRANSACTIONS

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SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Du Pont E I de Nemours	Sold	12/31	$1,001 - $15,000
	E On Ag	Purchase	6/4	$1,001 - $15,000
	Eastman Kodak	Purchase	6/4	$1,001 - $15,000
	Eastman Kodak	Sold	12/31	$1,001 - $15,000
	Electronic Data Systems	Purchase	9/21, 11/14	$1,001 - $15,000
	Efunds	Purchase	6/8	$1,001 - $15,000
	Efunds	Sold	12/4	$1,001 - $15,000
	EMC	Purchase	6/4	$1,001 - $15,000
	EMC	Sold	12/31	< $1,001
	Eni Spa	Purchase	6/4	$1,001 - $15,000
	Enron	Purchase	7/20	$1,001 - $15,000
	Enron	Sold	10/25	< $1,001
	Exelon	Purchase	11/20	$1,001 - $15,000
	Expeditors International	Purchase	5/30	$1,001 - $15,000
	Expeditors International	Sold	5/31, 12/31	$1,001 - $15,000
	Fannie Mae	Purchase	6/4	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Fannie Mae	Sold	12/3	< $1,001
	FYI Inc.	Purchase	5/30	$1,001 - $15,000
	FYI Inc.	Sold	5/31, 12/31	$1,001 - $15,000
	General Electric	Purchase	6/4	$1,001 - $15,000
	General Electric	Sold	12/31	$1,001 - $15,000
	Goodyear Tire & Rubber	Purchase	6/4	$1,001 - $15,000
	Goodyear Tire & Rubber	Sold	12/31	$1,001 - $15,000
	Great Lakes Chemical	Purchase	6/4	$1,001 - $15,000
	Great Lakes Chemical	Sold	12/31	$1,001 - $15,000
	Hanover Compressor	Purchase	5/30	$1,001 - $15,000
	Hanover Compressor	Sold	5/31, 12/31	$1,001 - $15,000
	HCC Insurance Holdings	Purchase	5/30	$1,001 - $15,000
	HCC Insurance Holdings	Sold	5/31	< $1,001
	H J Heinz	Purchase	6/4	$1,001 - $15,000
	H J Heinz	Sold	11/2	$1,001 - $15,000
	Heller Financial	Purchase	5/30	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Heller Financial	Sold	5/31, 10/26	$1,001 - $15,000
	Hewlett-Packard	Purchase	9/18, 10/3	$1,001 - $15,000
	Hitachi	Purchase	6/4	$1,001 - $15,000
	Hitachi	Sold	12/31	$1,001 - $15,000
	Home Depot	Sold	6/4, 9/18	$15,001 - $50,000
	HSBC Holdings	Purchase	12/31	$1,001 - $15,000
	International Business Machines	Purchase	6/4	$1,001 - $15,000
	IBP	Purchase	6/4	$1,001 - $15,000
	IBP	Sold	8/13	$1,001 - $15,000
	Investment Company of America	Sold	5/25	$100,001 - $250,000
	Infocus	Purchase	5/30	$1,001 - $15,000
	Infocus	Sold	5/31	< $1,001
	Insight Enterprises	Purchase	5/30	$1,001 - $15,000
	Insight Enterprises	Sold	5/31	< $1,001
	Insured Muni Income Tr. Series 178	Sold	12/31	$1,001 - $15,000
	Invensys	Purchase	6/4	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Invensys	Sold	12/31	$1,001 - $15,000
	Johnson & Johnson	Purchase	8/9, 9/21	$1,001 - $15,000
	L 3 Communications	Purchase	5/30	$1,001 - $15,000
	L 3 Communications	Sold	5/31, 9/18	$1,001 - $15,000
	Legg Mason	Purchase	5/30	$1,001 - $15,000
	Legg Mason	Sold	5/31	< $1,001
	Lockheed Martin	Purchase	6/4	$1,001 - $15,000
	Lockheed Martin	Sold	9/28	$1,001 - $15,000
	Loews	Purchase	6/4	$1,001 - $15,000
	Loews	Sold	12/31	$1,001 - $15,000
	Marks & Spencer	Purchase	6/4	$1,001 - $15,000
	Mastec	Purchase	5/30	$1,001 - $15,000
	Mastec	Sold	5/31, 11/15	< $1,001
	Matshusita Electronics	Purchase	6/4, 10/4	$1,001 - $15,000
	Matshusita Electronics	Sold	12/31	$1,001 - $15,000
	MBNA	Purchase	6/4, 10/4	$1,001 - $15,000

SCHEDULE IV – TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	McDonalds	Purchase	12/31	$1,001 - $15,000
	Medtronic	Sold	6/4	$100,001 - $250,000
	Merck & Company	Purchase	6/4, 7/17	$1,001 - $15,000
	Merck & Company	Sold	9/20, 12/31	$1,001 - $15,000
	Metro One Telecommunications	Purchase	5/30	$1,001 - $15,000
	Metro One Telecommunications	Sold	5/31	< $1,001
	Mexico Fund Mutual Fund	Sold	6/4	$15,001 - $50,000
	Microsoft	Purchase	6/4	$1,001 - $15,000
	Mitsubishi Tokyo Financial	Purchase	6/4	$1,001 - $15,000
	Mitsubishi Tokyo Financial	Sold	12/31	$1,001 - $15,000
	Motorola	Purchase	6/4	$1,001 - $15,000
	National City	Purchase	6/4	$1,001 - $15,000
	National City	Sold	10/22	$1,001 - $15,000
	Newpark Resources	Purchase	6/21	$1,001 - $15,000
	Newpark Resources	Sold	12/31	$1,001 - $15,000
	Nippon Telegraph & Telephone	Purchase	6/4	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP DC JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Nippon Telegraph & Telephone	Sold	12/31	$1,001 - $15,000
	Nokia	Purchase	6/4	$1,001 - $15,000
	Northrop Grumman	Purchase	12/31	$1,001 - $15,000
	Omnicare	Purchase	8/23	$1,001 - $15,000
	Owens & Minor	Purchase	5/30	$1,001 - $15,000
	Owens & Minor	Sold	5/31	< $1,001
	Pepsico	Purchase	8/3, 9/20	$1,001 - $15,000
	Peregrine Systems	Purchase	5/30	$1,001 - $15,000
	Peregrine Systems	Sold	5/31, 12/31	$1,001 - $15,000
	Performance Food Group	Purchase	5/30	$1,001 - $15,000
	Performance Food Group	Sold	5/31	< $1,001
	Perot Systems	Purchase	12/21	$1,001 - $15,000
	Petroleo Brasileiro	Purchase	6/4	$1,001 - $15,000
	Petroleo Brasileiro	Sold	12/31	$1,001 - $15,000
	Pfizer	Purchase	6/4	$1,001 - $15,000
	Pacific Gas & Electric	Purchase	12/31	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Philip Morris	Purchase	6/4, 8/20	$1,001 - $15,000
	Philip Morris	Sold	12/31	$1,001 - $15,000
	Prudential Financial	Purchase	12/13	$1,001 - $15,000
	Raytheon	Purchase	6/4	$1,001 - $15,000
	Repsol YPE	Purchase	6/4	$1,001 - $15,000
	Repsol YPE	Sold	12/31	$1,001 - $15,000
	Reynolds & Reynolds	Purchase	5/30	$1,001 - $15,000
	Reynolds & Reynolds	Sold	5/31	< $1,001
	Richmond City Financial	Purchase	5/30	$1,001 - $15,000
	Richmond City Financial	Sold	5/31, 8/2	< $1,001
	Safeco	Purchase	6/4	$1,001 - $15,000
	SBC Communications	Purchase	6/4	$1,001 - $15,000
	SBC Communications	Sold	12/31	$1,001 - $15,000
	Schering Plough	Purchase	6/4	$1,001 - $15,000
	Schering Plough	Sold	8/8, 12/31	$1,001 - $15,000
	Shaw Group	Purchase	5/30	$1,001 - $15,000

Name James Thomas Kolbe | Page 22 of 27

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Shaw Group	Sold	5/31, 12/31	$1,001 - $15,000
	Sherwin Williams	Purchase	6/4	$1,001 - $15,000
	Sonicwall	Purchase	12/20	$1,001 - $15,000
	Sovereign Bancorp	Purchase	7/11	$1,001 - $15,000
	Sprint Corporation FON Group	Purchase	6/4	$1,001 - $15,000
	State Street	Purchase	6/4	$1,001 - $15,000
	State Street	Sold	12/4	< $1,001
	Stericycle	Purchase	5/30	$1,001 - $15,000
	Stericycle	Sold	5/31	< $1,001
	Sun Microsystems	Purchase	6/4	$1,001 - $15,000
	Syncor International	Purchase	5/30	$1,001 - $15,000
	Syncor International	Sold	5/31	< $1,001
	Target	Purchase	6/4	$1,001 - $15,000
	Telecomunicacoes Brasileiras	Purchase	6/4	$1,001 - $15,000
	Telecomunicacoes Brasileiras	Sold	12/31	$1,001 - $15,000
	Telefonica	Purchase	6/4	$1,001 - $15,000

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Telefonica	Sold	12/31	$1,001 - $15,000
	Telefonos de Mexico	Purchase	6/4	$1,001 - $15,000
	Tetra Tech	Purchase	5/30	$1,001 - $15,000
	Tetra Tech	Sold	5/31, 12/31	$1,001 - $15,000
	Texas Instruments	Purchase	6/4	$1,001 - $15,000
	Texas Instruments	Sold	6/28, 12/31	$1,001 - $15,000
	Tokio Marine & Fire	Purchase	12/31	$1,001 - $15,000
	Toys R Us	Purchase	12/31	$1,001 - $15,000
	Tyco International	Purchase	6/4	$1,001 - $15,000
	Unilever	Purchase	6/4	$1,001 - $15,000
	Unisys	Purchase	6/4	$1,001 - $15,000
	United Stationers	Purchase	5/30	$1,001 - $15,000
	United Stationers	Sold	5/31	< $1,001
	UST	Purchase	6/4	$1,001 - $15,000
	Varian	Purchase	5/30	$1,001 - $15,000
	Varian	Sold	5/31	< $1,001

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Verizon Communications	Purchase	6/4	$1,001 - $15,000
	Verizon Communications	Sold	12/31	$1,001 - $15,000
	Walgreen	Purchase	6/4	$1,001 - $15,000
	Walgreen	Sold	7/17, 12/31	$1,001 - $15,000
	Wal-Mart Stores	Purchase	6/4	$1,001 - $15,000
	Waste Management	Purchase	6/4	$1,001 - $15,000
	Wells Fargo & Company	Purchase	6/4	$1,001 - $15,000
	Xerox	Purchase	6/4	$1,001 - $15,000
	Zurich Financial Services	Purchase	6/4, 10/30	$1,001 - $15,000
	Zurich Financial Services	Sold	12/31	$1,001 - $15,000
	AIM Global Telecommunications & Technology Fund	Sold	7/2	$1,001 - $15,000
	Alliance Premier Growth Fund	Purchase	7/3	$1,001 - $15,000
	ANZ Exchangeable Preferred Stock	Purchase	3/14	$1,001 - $15,000
	Easton Vance Greater China Growth Fund	Sold	12/11	$1,001 - $15,000
	Easton Vance Tax Managed Growth Fund	Purchase	12/11	$1,001 - $15,000
	Evergreen Blue Chip Fund	Sold	7/2	$1,001 - $15,000

SCHEDULE IV – TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Merrill Lynch Bond Fund High Income Portfolio	Purchase	7/21	$1,001 - $15,000
	Merrill Lynch Corporate Bonds	Redeemed	10/24	$15,001 - $50,000
	Merrill Lynch Fund Retirement Plus Annuity Account	Purchase	12/2	$50,001 - $100,000
	Merrill Lynch Quality Equity	Sold	12/2	$15,001 - $50,000
	Pacific Telesis Preferred Securities	Liquidated	2/15	$1,001 - $15,000

Name James Thomas Kolbe | Page 26 of 27

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.
Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar.2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 8-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
World Economic Forum	January 24-29	DC-Davos, Switzerland-DC	Y	Y	N	None
World Economic Forum	February 25-27	Miami, FL-Cancun, Mexico-DC	Y	Y	N	None
Council of State Governments	April 6-7	DC-Santa Fe, NM-Tucson, AZ	Y	N	N	None
Embry-Riddle Aeronautical University	June 7-9	Englewood, CO (transportation not provided)	Y	Y	N	None
Congressional Economic Leadership Institute	July 6-9	DC-Montreal, Canada-DC	Y	Y	N	None
American-Australian Education Leadership Foundation	August 8-18	Tucson, AZ-Sydney, Australia	Y	Y	N	8 Days
Log Cabin Republicans of Northwest Ohio	October 5-6	DC-Toledo, OH-DC	Y	Y	N	None
Renaissance Weekend	December 28-January 1	DC-Charleston, SC-DC	Y	Y	N	None

SCHEDULE VIII -- POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Trustee	Embry-Riddle Aeronautical University, Daytona Beach, FL
Board of Visitors	Weinberg College of Arts & Sciences, Northwestern University, Evanston, IL
Board of Directors	Community Food Bank, Tucson, AZ
Board of Directors	Wright Flight, Tucson, AZ
Board of Directors	International Republican Institute, Washington, DC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(4)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:52
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

DENNIS J. KUCINICH
(Full Name)

14400 DETROIT AVE.
LAKEWOOD, OHIO 44107
(Mailing Address)

Daytime Telephone: (216) 228-8850

Filer Status: [✓] Member of the U.S. House of Representatives — State: OH District: 10 — [ ] Officer or Employee — Employing Office:

Report Type: [✓] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [✓]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [✓]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [✓]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [✓]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [✓]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [✓]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [✓]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [✓]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [✓]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [✓]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dennis J. Kucinich	5/15/02

Name DENNIS J. KUCINICH | Page 2 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1–$1,000; C $1,001–$15,000; D $15,001–$50,000; E $50,001–$100,000; F $100,001–$250,000; G $250,001–$500,000; H $500,001–$1,000,000; I $1,000,001–$5,000,000; J $5,000,001–$25,000,000; K $25,000,001–$50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $–$200; III $201–$1,000; IV $1,001–$2,500; V $2,501–$5,000; VI $5,001–$15,000; VII $15,001–$50,000; VIII $50,001–$100,000; IX $100,001–$1,000,000; X $1,000,001–$5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	Examples: SP Mega Corp. Stock	X (F $100,001–$250,000)	DIVIDENDS: X	III $201–$1,000: X	P
	Examples: Simon & Schuster	Indefinite	Other Type of Income: Royalties	IX $100,001–$1,000,000: X	
	Examples: 1st Bank of Paducah, KY accounts	X (F $100,001–$250,000)	INTEREST: X	VI $5,001–$15,000: X	
	OH. PUB. EMP. RET. SVC	X (B $1–$1,000)	Other Type of Income: STATE RET. FUND		
	AM. CROATIAN LODGE	X (A None)	DIVIDENDS: X		
	THIRD FEDERAL S+L	X (B $1–$1,000)	INTEREST: X; Other Type of Income: SAVINGS/CHECKING	III $201–$1,000: X	

For additional assets and unearned income, use next page.

Name DENNIS J. KUCINICH | Page 3 of 4

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	JAMES CARNEY, JR. CLEVELAND, OH.	PERSONAL LOAN		X								
	SHIRLEY PARKER, LA CALIF.	PERSONAL LOAN		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name DENNIS J. KUCINICH | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	LTV STRATEGY MEETING CLEVELAND CLIFFS CO	1/17/01	CLV.-MARQUETTE, MI-CLV	N	Y	N	N
	KEYNOTE SPEECH NAT. NUTRITIONAL FOODS ASSN	4/21-4/23 2001	CLV - LOUISVILLE KY - CLV	Y	Y	N	N
	KEYNOTE SPEECH AM. PUBLIC POWER ASSOC.	6/18/01	WASH., D.C.	N	N	N	N
	KEYNOTE SPEECH AM. FOR DEMOCRATIC ACTION	6/21-6/23 2001	CLV - LA - WASH., D.C.	N	N	N	N
	KEYNOTE SPEECH COUNCIL OF CANADIANS	7/6-7/8 2001	CLV - VANCOUVER - CLV	Y	Y	N	N
	KEYNOTE SPEECH INSTITUTE FOR POLICY STUDIES	10/29-10/30 2001	CLV - NYC - DC	Y	N	N	N

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U.S. HOUSE OF REPRESENTATIVES

MC

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of 2

John J. LaFalce
(Full Name)

2310 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-3231
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: NY District: 29	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John J. LaFalce	5/15/02

2590

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John J. LaFalce

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	American Opportunities Fund	$1,001 - $15,000		NONE	
	AOL	$1,001 - $15,000		NONE	
	Ariba	$1,001 - $15,000		NONE	
	Biotech Unit Trust 99B	None	CAPITAL GAINS	$1,001 - $2,500	S
	Centura	$1,001 - $15,000		NONE	S
	China Telecom	$50,001 - $100,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John J. LaFalce

	China Unicom	$1,001 - $15,000		NONE	
	Cisco	$1,001 - $15,000		NONE	
	Colonial Manor Condominium 1101 Reserve Road Unit #5 West Seneca, NY	$15,001 - $50,000	Rent	$5,001 - $15,000	
	Congressional Federal Credit Union	$1,001 - $15,000	Interest	$1 - $200	
	Corning	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Fidelity Aggressive Growth	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Fidelity Select Biotechnology	$1,001 - $15,000		NONE	
	Fidelity Select Developing Comm.	$1,001 - $15,000		NONE	
	Fidelity Select Electronics	$1,001 - $15,000		NONE	
	Fidelity Select Software and Computer	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Fidelity Select Technology	$1,001 - $15,000		NONE	
	First Niagara Savings Bank (formerly Lockport Savings Bank)	$1,001 - $15,000	INTEREST	$1 - $200	
	Infosys Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Internet Capital	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John J. LaFalce

	M & T Bank Savings Account	$15,001 - $50,000	INTEREST	$2,501 - $5,000	
	Merrill Lynch Global Technology B	$1,001 - $15,000		NONE	
	Merrill Lynch Global Technology D	$1,001 - $15,000		NONE	
	Microsoft	$1,001 - $15,000		NONE	
	ML Bank USA	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	ML Cash Management Money Market	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	ML Retirement Reserves Money Market	$1 - $1,000	DIVIDENDS	$1 - $200	
	Morgan Stanley Liquid Assets (formerly Active Assets) & Retirement Moneymkt.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Motorola	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	NASDAQ 100 Trust	$1,001 - $15,000		NONE	
	New York State College Savings Progam (for Martin LaFalce)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Nextel	$15,001 - $50,000		NONE	
	Open-TV	$1,001 - $15,000		NONE	S
	Oracle	$100,001 - $250,000	CAPITAL GAINS	$15,001 - $50,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John J. LaFalce

	Prudential Money Mart Assets	$1 - $1,000	DIVIDENDS	$1 - $200	
	PurchasePro	$1,001 - $15,000		NONE	
	Putnam Investment Fund B	$1,001 - $15,000		NONE	
	Putnam Voyagers Fund B	$15,001 - $50,000		NONE	
	QLT Phototherapeutics	$15,001 - $50,000		NONE	
	Red Hat	$1,001 - $15,000		NONE	
	Sports Trac, Inc. (Bridge Loan) 6900 E. Bellview Avenue Englewood, CO	$1 - $1,000	N/A	NONE	
	Tivo	$1,001 - $15,000		NONE	
	Verisign	$15,001 - $50,000		NONE	
	Verizon	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	VerticalNet	$1 - $1,000		NONE	
	Vision Money Mkt	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name John J. LaFalce

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Oracle Corportion	S	1-4-01	$15,001 - $50,000
	ML Teleglobal	S	12-31-01	$1,001 - $15,000
	ML Broadband	PS	2-23-01 12-31-01	$1,001 - $15,000
	Nuveen Wireless	S	10-10-01	$1,001 - $15,000
	Biotech Unit Trust 99B	S	11-21-01	$1,001 - $15,000
	Internet Trust 99D	S	2-26-01	$1,001 - $15,000
	Open TV	S	12-31-01	$1,001 - $15,000
	Somnus Medical Tech	S	6-13-01	$1,001 - $15,000
	Ventro	S	5-22-01	under $1000
	Centura	S	5-22-01	under $1000
	Intraware	S	5-22-01	under $1000
	American Opportunities Fund	P	5-22-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John J. LaFalce

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	Jan 12-16	Mazatlan, Mexico to Grand Cayman Island to Buffalo, NY	Y	Y	Y	N/A
The Aspen Institute	Feb 16 - 19	Buffalo, NY to St. Petersburg, FL to Buffalo, NY	Y	Y	Y	N/A
National Italian American Foundation	Apr 16 - 23	Buffalo, NY to Rome, Italy to Buffalo, NY	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

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(8)

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

MC

Ray H. LaHood
(Full Name)

1424 Longworth Building Washington, DC 20515
(Mailing Address)

202-225-6201
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: IL District: 18	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		5/15/2002

2597

SCHEDULE I - EARNED INCOME

Name Ray H. LaHood

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Council of Independent Colleges	Spouse Salary	N/A
Council of American Overseas Research	Spouse Independent Contractor Fee	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Ray H. LaHood

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	National City Savings & Investment Plan	$15,001 - $50,000	Deferred/Not self directed	NA-Retirement	NA
SP	National City Retirement Plan	$15,001 - $50,000	Deferred/Not self directed	NA-Retirement	NA
SP	TIAA-CREF	$1,001 - $15,000	Deferred/Not self directed	NA-Retirement	NA
SP	Morgan Stanley IRA Rollover - 120 Shares General Electric	$1,001 - $15,000	Deferred	$1 - $200	P
SP	Morgan Stanley IRA Rollover- 100 shares RLI Corp	$1,001 - $15,000	Deferred	$1 - $200	
SP	Morgan Stanley IRA Rollover- 200 shares - IKON Office Solutions, Inc.	$1,001 - $15,000	Deferred	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Ray H. LaHood

	Morgan Stanley - 500 shares - I2 Technologies, Inc.	$1,001 - $15,000	Dividends	NONE	P
SP	Morgan Stanley IRA Rollover - 260 shares - Caterpillar	$1,001 - $15,000	Deferred	$201 - $1,000	P

SCHEDULE IV - TRANSACTIONS

Name Ray H. LaHood

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Morgan Stanley IRA Rollover - 120 Shares General Electric	P	4-04-01	$1,001 - $15,000
SP	Morgan Stanley IRA Rollover - 60 shares - Caterpillar	P	4-04-01	$1,001 - $15,000
	Morgan Stanley - 500 shares - I2 Technologies, Inc.	P	10-15-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Ray H LaHood

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Morton Comm. Bank/Morton, IL	Student Loan	$50,001 - $100,000
JT	Citizens Equity Fed. Credit Union	Revolving Loan	$15,001 - $50,000
JT	Direct Loans - U. S. Department of Education	Student Loan	$50,001 - $100,000
	Alpha Bank, Toluca, IL	Student Loan	$15,001 - $50,000
	Central IL Bank, Bloomington, IL	Short Term/Misc. Loan	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Ray H. LaHood

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Nuclear Energy Institute	Apr. 14-21	Wash., D.C.-Paris, France-Wash., D.C.	Y	Y	Y	None
Pew Charitable Trust	Mar. 9-11	Wash., D.C.-White Sulfur Springs, WVA-Wash., D.C.	Y	Y	Y	None

SCHEDULE VIII - POSITIONS

Name Ray H. LaHood

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee (Unpaid)	Gallaudet University
Trustee (Unpaid)	Bradley University

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
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Nicholas V. Lampson
(Full Name)
8350 Collier Rd
(Mailing Address)
Beaumont Texas 77706
Daytime Telephone 202 225 6565

Filer Status	[X] Member of the U.S. House of Representatives — State: Texas District: 9th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ] No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ] No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ] No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Nicholas V. Lampson	5/10/02

2605

Name NICK SAMPSON	Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	BEAUMONT ISD	SPOUSE SALARY	35,000

For payments to charity in lieu of honoraria, use Schedule II.

2606

Name DAN G. NICK CAMPBELL Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$800
	NONE		

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name CONG NICK LAMPSON | Page ___ of ___

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	E: $50,001 – $100,000	DIVIDENDS	I: None	P
Examples:	Simon & Schuster	Indefinite	Other Type of Income (Specify, For Example, Partnership Income or Farm Income): Royalties		
	1st Bank of Paducah, KY savings	E: $50,001 – $100,000	INTEREST	III: $201 – $1,000	
	CONG. FED CREDIT	B: $1,001 – $15,000	INTEREST		
	JEFFERSON EMP. C.U.	B: $1,001 – $15,000		III: $201 – $1,000	
	TX CO. RETIREMENT SYS.	E: $50,001 – $100,000	INTEREST	I: None	
	THRIFT SAVING	E: $50,001 – $100,000		I: None	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CONS NICK LAMPSON

Page ___ of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	1638 Park Meadow Beaumont, Texas					X									X										X							
JT	24 Pruitz mon Beaumont Tx				X										X									X								
JT	25 Pruitz mon Beaumon				X										X									X								
	Non Received				X																X											

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SCHEDULE IV — TRANSACTIONS

Name CDR6 NICK LAMPSON | Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								

N/A

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Name: CONG NICK CAMPBELL | Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	HIBERNIA BANK TX	PRUZEMAN TOWNHOMES		X								
	GMAC MORGAGE WATERLOO TITLE	1038 PARKMEADOW		X								
	W. G. HALL ESTATE TX DICKSON	PERSONAL LOAN		X								
	CITIZENS BANK DICKSON	PERSONAL LOAN		X								
	COMMUNITY BANK BEAUMONT	HOME IMPROVEMENT	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name CONG NICK CAMPSON | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	N/A						

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2612

Name GONE. NICK CAMPSON	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
N/A	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:13
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

James R. Langevin
(Full Name)

US House of Representatives 109 Cannon HOB Washington, DC 20515
(Mailing Address)

202-225-2735
Daytime Telephone:

(Office Use Only)

Filer Status ☑ Member of the U.S. House of Representatives — State: RI — District: 02 ☐ Officer Or Employee — Employing Office:

MC

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? — Yes ☐ No ☑
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? — Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? — Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? — Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? — Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? — Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $240 from one source)? — Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? — Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? — Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? — Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? — Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual: Jim Langevin

Date (Month, Day, Year): 5-15-02

2614

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James R. Langevin

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Year-End Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."

BLOCK C

Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Eaton Vance Nat'l Muni Fund	100,001-250,000	DIVIDENDS	$5,001 - $15,000
Investment Co. Of America	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000
MSDW Aggresive Equity Fund	$15,001 - $50,000	CAPITAL GAINS	$1 - $200
MSDW Dividend Growth Fund	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
Putnam Growth and Income Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000
Putnam Voyager Fund	$100,001 - $250,000	CAPITAL GAINS	$5,001 - $15,000

2615

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James R. Langevin

Washington Mutual Investors Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
MSDW American Opport. Fund	$100,001 - $250,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500
Dreyfus Strategic Muni Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
MSDW Utilities Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
Dreyfus Strategic Muni Bond Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
MFS Municipal Income Trust	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
Nuveen Premium Inc. Mutual Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
U.S. Savings Bonds	$1,001 - $15,000	N/A	NONE
MSDW Utilities Fund B	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
Van Kampen Muni Trust SBI	$15,001 - $50,000	DIVIDENDS	NONE
340 Shawmut Avenue, Warwick, RI	$50,001 - $100,000	RENT	$5,001 - $15,000
15 Jefferson Street, Warwick, RI	$50,001 - $100,000	RENT	$5,001 - $15,000
Bonnet Shores Beach Cabana	$15,001 - $50,000	RENT	$201 - $1,000
Muni Enhanced Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James R. Langevin

Sun Life of Canada (results of demutualization of company)	$15,001 - $50,000	Other (Please specify)	$201 - $1,000
Sun Life of Canada (insurance policy)	$500,001 - $1,000,000	INTEREST (from principal on premium)	$5,001 - $15,000
Citizens Bank (savings account)	$1,001 - $15,000	INTEREST	$1 - $200
65 Chesterfield, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
17 Scott Ave, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
25 Scott Ave, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
15 Temple Street, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name James R. Langevin

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW Amer. Opportunity Fund	S	5-18-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	5-18-01	$1,001 - $15,000
	Putnam Voyager Fund	S	5-18-01	$1,001 - $15,000
	Washington Mutual Investors Fund	S	5-18-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	4-30-01	$1,001 - $15,000
	MSDW Amer. Opportunity Fund	S	3-16-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	3-16-01	$1,001 - $15,000
	Putnam Voyager Fund	S	3-8-01	$1,001 - $15,000
	Washington Mutual Investors Fund	S	3-8-01	$1,001 - $15,000
	MSDW Amer. Opportunity Fund	S	3-8-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	3-8-01	$1,001 - $15,000
	65 Chesterfield, Warwick, RI	P	9-30-01	$100,001 - $250,000

SCHEDULE IV - TRANSACTIONS

Name James R. Langevin

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	17 Scott Ave, Warwick, RI	P	9-30-01	$100,001 - $250,000
	25 Scott Ave, Warwick, RI	P	9-30-01	$100,001 - $250,000
	15 Temple Street, Warwick, RI	P	9-30-01	$100,001 - $250,000

SCHEDULE V - LIABILITIES

Name James R. Langevin

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Morgan Stanley	Margin Debt	$250,001 - $500,000
	Washington Mutual (mortgage was paid off during 2001)	Mortgage on 124 Abbott Ave, Warwick, RI	$50,001 - $100,000
	Washington Trust	Mortgage on 170 Shannon Drive, Warwick, RI	$50,001 - $100,000
	Doven Muehle Mortgage, Inc.	Mortgage on 15 Temple Avenue, Warwick, RI	$15,001 - $50,000
	Washington Trust	Mortgage on 83 Elmdale Avenue, Warwick, RI	$50,001 - $100,000
	Washington Mutual (mortgage was paid off during 2001)	Mortgage on 340 Shawmut Ave, Warwick, RI	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name James R. Langevin

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	American Red Cross of RI
Board of Directors	Parl Independent Living
Board of Directors	Warwick Shelter
Member, Capital Campaign Board	Elizabeth Buffum Chace House
Partner	Future Realty Company

JAMES R. LANGEVIN
2D DISTRICT, RHODE ISLAND

COMMITTEE ON ARMED SERVICES
SUBCOMMITTEES:
MILITARY PERSONNEL
MILITARY RESEARCH AND DEVELOPMENT

COMMITTEE ON SMALL BUSINESS
SUBCOMMITTEES:
TAX, FINANCE AND EXPORTS
REGULATORY REFORM AND OVERSIGHT

Congress of the United States
House of Representatives
Washington, DC 20515–3902

WASHINGTON OFFICE
109 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
TELEPHONE: (202) 225-2735
FAX: (202) 225-5976

DISTRICT OFFICE:
THE SUMMIT SOUTH
310 CENTERVILLE ROAD, SUITE 290
WARWICK, RI 02886
TELEPHONE: (401) 732-9408
FAX: (401) 737-2982

June 10, 2002

HAND DELIVERED

The Honorable Jeff Trandahl
Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, DC 20515

MC ✓ (9)

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
2002 JUN 10 AM 10:40
LEGISLATIVE RESOURCE CENTER

Dear Mr. Trandahl:

Attached please find amended financial disclosure forms for calendar year 2001. The change that has been made is the addition of three properties to Schedule III (124 Abbott Ave., 170 Shannon Dr., and 83 Elmdale Ave.). These properties meet the criteria for Schedule III and generate rental income but were mistakenly omitted from my original filing. I also have a mortgage on each of these properties, which were included on Schedule V in my original filing.

It should also be noted that these same three properties were inadvertently left off Schedule III in my calendar year 2000 filing as well, an omission which was just brought to my attention today.

If you require any additional information, please feel free to contact me or Kristin Nicholson on my staff at 225-2735. Thank you for your assistance.

Sincerely,

Jim Langevin

James R. Langevin
Member of Congress

JL/ken

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HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 JUN 10 AM 10:40
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

James R. Langevin
(Full Name)

US House of Representatives 109 Cannon HOB Washington, DC 20515
(Mailing Address)

202-225-2735
Daytime Telephone:

Filer Status ☑ Member of the U.S. House of Representatives — State: RI District: 02 ☐ Officer Or Employee — Employing Office:

Report Type ☐ Annual (May 15) ☑ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☐ No ☑

If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑

If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐

If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐

If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐

If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑

If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑

If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐

If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑

If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION – THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual: Jim Langevin

Date (Month, Day, Year): 6-10-02

2623

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James R. Langevin

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Year-End Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."

BLOCK C

Type of Income

If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Eaton Vance Nat'l Muni Fund	100,001-250,000	DIVIDENDS	$5,001 - $15,000
Investment Co. Of America	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000
MSDW Aggresive Equity Fund	$15,001 - $50,000	CAPITAL GAINS	$1 - $200
MSDW Dividend Growth Fund	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
Putnam Growth and Income Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000
Putnam Voyager Fund	$100,001 - $250,000	CAPITAL GAINS	$5,001 - $15,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James R. Langevin

Washington Mutual Investors Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
MSDW American Opport. Fund	$100,001 - $250,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500
Dreyfus Strategic Muni Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
Van Kampen Muni Trust SBI	$15,001 - $50,000	DIVIDENDS	NONE
Sun Life of Canada (results of demutualization of company)	$15,001 - $50,000	Other (Please specify)	$201 - $1,000
MSDW Utilities Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
Sun Life of Canada (insurance policy)	$500,001 - $1,000,000	INTEREST (from principal on premium)	$5,001 - $15,000
Muni Enhanced Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
340 Shawmut Avenue, Warwick, RI	$50,001 - $100,000	RENT	$5,001 - $15,000
15 Jefferson Street, Warwick, RI	$50,001 - $100,000	RENT	$5,001 - $15,000
Bonnet Shores Beach Cabana	$15,001 - $50,000	RENT	$201 - $1,000
Citizens Bank (savings account)	$1,001 - $15,000	INTEREST	$1 - $200
U.S. Savings Bonds	$1,001 - $15,000	N/A	NONE

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James R. Langevin

Nuveen Premium Inc. Mutual Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
MFS Municipal Income Trust	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
Dreyfus Strategic Muni Bond Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500
MSDW Utilities Fund B	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000
65 Chesterfield, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
17 Scott Ave, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
25 Scott Ave, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
15 Temple Street, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
124 Abbott Ave, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
170 Shannon Dr, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000
83 Elmdale Ave, Warwick, RI	$100,001 - $250,000	RENT	$5,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name James R. Langevin

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MSDW Amer. Opportunity Fund	S	5-18-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	5-18-01	$1,001 - $15,000
	Putnam Voyager Fund	S	5-18-01	$1,001 - $15,000
	Washington Mutual Investors Fund	S	5-18-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	4-30-01	$1,001 - $15,000
	MSDW Amer. Opportunity Fund	S	3-16-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	3-16-01	$1,001 - $15,000
	Putnam Voyager Fund	S	3-8-01	$1,001 - $15,000
	Washington Mutual Investors Fund	S	3-8-01	$1,001 - $15,000
	MSDW Amer. Opportunity Fund	S	3-8-01	$1,001 - $15,000
	MSDW Dividend Growth Fund	S	3-8-01	$1,001 - $15,000
	65 Chesterfield, Warwick, RI	P	9-30-01	$100,001 - $250,000

SCHEDULE IV - TRANSACTIONS

Name James R. Langevin

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	17 Scott Ave, Warwick, RI	P	9-30-01	$100,001 - $250,000
	25 Scott Ave, Warwick, RI	P	9-30-01	$100,001 - $250,000
	15 Temple Street, Warwick, RI	P	9-30-01	$100,001 - $250,000

SCHEDULE V - LIABILITIES

Name James R. Langevin

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Morgan Stanley	Margin Debt	$250,001 - $500,000
	Washington Mutual (mortgage was paid off during 2001)	Mortgage on 124 Abbott Ave, Warwick, RI	$50,001 - $100,000
	Washington Trust	Mortgage on 170 Shannon Drive, Warwick, RI	$50,001 - $100,000
	Doven Muehle Mortgage, Inc.	Mortgage on 15 Temple Avenue, Warwick, RI	$15,001 - $50,000
	Washington Trust	Mortgage on 83 Elmdale Avenue, Warwick, RI	$50,001 - $100,000
	Washington Mutual (mortgage was paid off during 2001)	Mortgage on 340 Shawmut Ave, Warwick, RI	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name James R. Langevin

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	American Red Cross of RI
Board of Directors	Pari Independent Living
Board of Directors	Warwick Shelter
Member, Capital Campaign Board	Elizabeth Buffum Chace House
Partner	Future Realty Company

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U.S. HOUSE OF REPRESENTATIVES
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2631

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Thomas Peter Lantos
(Full Name)
2217 Rayburn House Office Building
(Mailing Address)
(202) 225-3531
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 12	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tom Lantos	5/10/02

SCHEDULE I – EARNED INCOME

Source	Type	Amount
State of California Public Systems	Pension	13,900
California Teachers Association	Pension	14,458

SCHEDULE III – ASSETS AND "UNEARNED" INCOME

	Asset and or/ Income Source	Value of Asset	Type of Income	Amount of Income	Transaction
	Keogh Retirement – Merrill Lynch (consists of;)				
	(1) Allstate Corp. Del	C	Dividends	II	
	(2) Morgan Stanley Dean Witter Disc.	C	Dividends	II	
	(3) Sears Roebuck	C	Dividends	II	
	(4) US Airways Group Del $1	C	Dividends	I	
	(5) ML USA Gov't Reserves	F	Dividends	IV	
JT	Merrill Lynch - CMA	D	Interest	IV	
	Merrill Lynch IRA (consists of;)				
	ML USA Gov't Reserves	D	Dividends	IV	
SP	Merrill Lynch IRA (consists of;)				
	(1) Boeing	D	Dividends	III	
	(2) ML USA Gov't Reserves	C	Dividends	III	
JT	Wright-Patman Congressional Federal Credit Union – Money Market, Checking and Savings, Account	F	Interest	VII	

JT	Charles Schwab Account (Consists of;)				
	(1) AMR Corp	G	N/A	N/A	P
	(2) Apple Computer Inc.	D	N/A	N/A	
	(3) Boeing Co	G	Dividends	VI	P
	(4) Carnival Corp	F	Dividends	V	S
	(5) Caterpillar Inc.	None	Dividends	III	S
	(6) Disney Walt Hld. Co	E	Dividends	III	P
	(7) Eastman Kodak	E	Dividends	V	P
	(8) General Electric	D	Dividends	II	P / S
	(9) Glenborough A 7.75%	None	Dividends	VI	S
			Capital Gains	III	
	(10) Glenborough Realty Trust	None	Dividends	VI	S
			Capital Gains	II	
	(11) Hasbro	None	Dividends	II	S
	(12) Lear Corp.	None	N/A	N/A	S
	(13) Lockheed Martin Corp.	None	Dividends	IV	S
	(14) Northwest Airlines	F	N/A	N/A	P
	(15) Oracle Corp.	C	N/A	N/A	P
	(16) Raytheon	None	Dividends	IV	S

	(17) Starwood Htls & Rsts. Paired Shares	E	Dividends	II	P / S
	(18) Tommy Hilfiger Corp. F	D	N/A	N/A	S
	(19) United Airline Corp. New	D	Dividends	VI	P/ S
	(20) Unisys Corp	D	N/A	N/A	
	(21) US Airways Group Inc.	D	N/A	N/A	P /S
	(22) WESTJET Airlines Ltd	C	N/A	N/A	
	(23) Xerox Corp.	F	Dividends	IV	
	(24) Schwab Money Market Fund	H	Dividends	IV	
SP	210 Justice Court – Washington, DC	F	Gross Rent	VII	
			Net Rent	VI	
SP	Multi Unit Apartment Building, 5940 Balzam Vancouver, B.C.	H	Gross Rent	VII	
			Net Rent	VII	

SCHEDULE IV – TRANSACTIONS

	Asset	Type of Transaction	Date	Amount of Transaction
	A.M.R Corp.	P	4/06/01	C
	A.M.R. Corp.	P	9/18/01	C
	Boeing Corp	P	4/06/01	D
	Boeing Corp.	P	6/28/01	D
	Boeing Corp.	P	9/24/01	C
	Boeing Corp.	P	10/02/01	C
	Carnival Corp.	S	12/27/01	E
	Caterpillar Inc.	S	9/17/01	C
	Disney	P	5/07/01	C
	Disney	P	10/11/01	C
	Eastman Kodak	P	5/08/01	C
	General Electric	P	9/21/01	C

	General Electric	S	12/27/01	C
	Glenborough A 7.75% PFD	S	9/17/01	E
	Glenborough RLTY TR Inc.	S	9/17/01	D
	Hasbro Inc.	S	9/17/01	C
	Lear Corp.	S	5/08/01	D
	Lockheed Martin Corp.	S	9/17/01	E
	Northwest Airlines Corp.	P	4/09/01	C
	Northwest Airlines Corp.	P	9/24/01	C
	Northwest Airlines Corp.	P	10/11/01	C
	Oracle Corp.	P	12/27/01	B
	Raytheon Company	S	9/17/01	D
	Starwood Htls & Resorts Paired Shs.	P	9/18/01	C
	Starwood Htls & Resorts Paired Shs	P	10/11/01	C
	Starwood Htls & Resorts Paired Shs	S	12/27/01	D
	Tommy Hilfiger Corp. F	S	12/27/01	C
	United Airlines Corp.	P	3/02/01	C
	United Airlines Corp.	P	4/06/01	C
	United Airlines Corp.	P	6/28/01	C
	United Airlines Corp.	P	9/18/01	C
	United Airlines Corp.	P	9/24/01	C
	United Airlines Corp.	S	12/10/01	D
	United Airlines Corp.	S	12/27/01	C
	U.S. Airways Group	P	9/18/01	B
	U.S. Airways Group	P	10/11/01	B
	U.S. Airways Group	S	12/10/01	B

SCHEDULE VII – Travel Payments and Reimbursements

Source	Dates	Point of Departure – Point of Return	Lodging	Food	Family Member	Any time not at sponsor's expense
International Management and Development Institute	Feb. 16-26	Washington, DC – Dusseldorf, Germany – Liechtenstein – Washington, DC	Y	Y	Y	
Brigham Young University	April 26 – May 1	Washington, DC – Provo, UT – San Francisco, CA – Washington, DC	Y	Y	Y	Four days

University of Michigan	May 4	Washington, DC – Ann Arbor, MI – Washington, DC	N	Y	N	
International Management and Development Institute	May 25 – June 4	Washington, DC – Copenhagen, Denmark – Oslo, Norway – Washington, DC	N	Y	Y	Five days
Rebild Society	July 1 – July 6	Washington, DC – Copenhagen, Denmark – Newark, NJ	N	N	Y	Three days
Guardian Industries	July 14	San Francisco, CA – Sacramento, CA – San Francisco, CA	N	N	N	
University of Michigan	Oct. 19 – Oct. 20	Baltimore, MD – Ann Arbor, MI – New York, NY – Washington, DC	N	N	N	

Schedule VIII – Positions

International Board of Governors Member (uncompensated)	Peres Peace Center
Board Member (uncompensated)	William Davidson Institute - University of Michigan Business School
Board Member (uncompensated)	Central European University

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
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(8)

Richard Ray Larsen
(Full Name)

1407-90th Ave NE
(Mailing Address)

Everett, WA 98205
(Mailing Address)

202-225-2605
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: WA District: 02	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Richard R Larsen	05/14/02

2637

Name Richard Ray Larsen | Page 2 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock					X								X										X								P
	DC Simon & Schuster			Indefinite																Royalties									X			
	JT 1st Bank of Paducah, KY accounts						X									X										X						
JT	Everett Mutual Checking Acct			X												X						X										
JT	Shoshone County PUD Credit Union Savings				X											X						X										
JT	Congressional Federal Credit Union Savings				X											X						X										
JT	" " " " Checking		X													X						X										
JT	AXP New Dimensions A			X													X					X										E
SP	AXP New Dimension B (TSEA, Amex Trust Co.)			X																												

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Richard Ray Larsen

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK D Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	AXP Managed Allocation	X												X			X				X											E (less than $200)
JT	AXP Diversified Equity Income			X										X			X						X									
JT	AXP Strategy Aggressive B			X										X			X				X											
JT	AXP Strategy Aggressive A			X										X			X				X											
JT	AXP Equity Value B			X										X			X						X									E
JT	AXP Equity Value A			X										X			X						X									
* S	Life Protection Plus (AXP)	X																		NONE	X											E
S	Flexible Annuity (AXP)			X																NONE	X											
* S	Variable Life (AXP)			X																NONE	X											P
+ SP	Thomas Karbon plan - IRA (Amex Trust Corp)																															
+ S	Richard R Larsen plan - IRA (Amex Trust Corp)																															
+ S	Richard R. Larsen plan - Roth IRA (Amex Trust Corp)																															
*	Purchased Variable Life policy and moved cash value of Life protection plus to Variable Life policy																															
+	See attached for breakouts																															

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2639

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Richard Roy Larsen

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
+	IRA Breakouts	A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	Thia Ingrid Karlen plan - IRA				
	AXP Blue Chip	C	DIVIDENDS, CAPITAL GAINS	N/A	
S	Richard R. Larsen plan - IRA				
	AXP Growth Fund	C	DIVIDENDS, CAPITAL GAINS	N/A	
	AXP Blue Chip	C	DIVIDENDS, CAPITAL GAINS	N/A	
	AXP Diversified Equity Income	C	DIVIDENDS, CAPITAL GAINS	N/A	
S	Richard R. Larsen plan Roth IRA				
	Strategy Aggressive	C	DIVIDENDS, CAPITAL GAINS	N/A	

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SCHEDULE IV — TRANSACTIONS

Name Richard Ray Larsen

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
~~JT~~	~~AXP Managed Allocation Fund~~			~~X~~	~~8-23-01~~										
S	AXP Life Protection Plus			X	3-14-01	X									
S	AXP Variable Life	X			3-14-01	X									
~~S~~ JT	AXP Strategy Aggressive			X	12-18-01	X									
~~S~~ JT	AXP New Dimensions			X	12-18-01	X									

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Name Richard Ray Larsen | Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Chase Manhattan Bank	Mortgage on 1403-90th Ave. NE Ext, WA				X						
JT	Everfirst Bank	Line of Credit			X							

Dover

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Richard Roy Larsen | Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Arctic Power Council	Apr 6-9, 2001	Sea-Anchorage-Pt. Barrow-Seattle	Y	Y	N	N
	Democratic Leadership Council	May 10-13	DC -Key West FL - DC	Y	Y	Y	N
	New Democratic Network	July 13-15	Seattle-San Fran - D.C.	Y	Y	N	N

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Name Richard Raylazer | Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Sec/Treasurer	Arlington High School Class of 1983 Reunion Committee

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mao)

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:58
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

7

MC

2645

JOHN B. LARSON
(Full Name)

1887 OLD MAIN STREET
(Mailing Address)

EAST HARTFORD, CT 06108

Daytime Telephone:
WASHINGTON 202-225-2265
HARTFORD 860-278-8888

Filer Status	[X] Member of the U.S. House of Representatives	State: CT District: 1ST	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John B Larson	5/15/02

Name JOHN B. LARSON	Page 1 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
Examples: State of Maryland	Legislative Pension	$9,000
Examples: Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Examples: Ontario County Board of Education	Spouse Salary	NA
NETWORKING CONCEPTS, LLC	INSURANCE COMM.S FOR PAST SERVICES	GROSS $50,001 NET $44,494
LARSON & LYSIK, INC.	SPOUSE SALARY	$14,825

For payments to charity in lieu of honoraria, use Schedule II.

Name JOHN B. LARSON | Page 2 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E P, S, E
SP	Mega Corp. Stock					X								X																		P
DC	Simon & Schuster			Indefinite																Royalties												
JT	1st Bank of Paducah, KY accounts						X									X									X							
	CONGRESSIONAL FCU			X												X						X										
	FLEET BANK - SAVINGS				X											X						X										
JT	AMERICAN SAVING ESCROW	X														X						X										
	GALAXY MONEY MARKET			X										X									X									
	FLEET BANK IRA			X												X						X										
SP	FLEET BANK IRA			X												X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN B. LARSON

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	FIDELITY INV. SEP IRA				X									X		X	X				N/A											

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2648

Name JOHN B. LARSON | Page 4 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	150 SHS. PACCOM VENTURES		X		10-4-01	X									

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Name	JOHN B. LARSON	Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ASPEN INSTITUTE	MAR. 9-11	WASH. D.C.-WHITE SULFUR SPRINGS W. VA.-WASH DC	Y	Y	Y	N

This page may be copied if more space is required.

Name JOHN B. LARSON	Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
DIRECTOR	THE OLD STATE HOUSE
MEMBER	RIVER FRONT RECAPTURE
MEMBER	NETWORKING CONCEPTS, LLC
DIRECTOR	LARSON & LYSIK, LLC

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 13 PM 3:31
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Thomas P. Latham
(Full Name)

178-180th Street
(Mailing Address)

Alexander, Iowa 50420

Daytime Telephone: 641-692-3240

Filer Status	[X] Member of the U.S. House of Representatives	State: Iowa District: 5	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet *all* three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas P. Latham	5/12/02

2652

Name Thomas P. Latham | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Latham Seed Co.	Salary	$6,000

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Thomas P. Latham

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset	Block B	Block C	Block D	Block E
SP, DC, JT (Examples)	SP Mega Corp. Stock	$50,001 – $100,000 (E)	DIVIDENDS; RENT	$2,501 – $5,000 (V); $5,001 – $15,000 (VI)	P
	Simon & Schuster	Indefinite	INTEREST; Other Type of Income: Royalties		
	1st Bank of Paducah, KY accounts	$100,001 – $250,000 (F)	INTEREST	$5,001 – $15,000 (VI)	
JT	Madderman Farm 110.7 acres Alexander, Iowa	$250,001 – $500,000 (G)	RENT	$5,001 – $15,000 (VI)	E
JT	Latimer Farm 93.7 acres Latimer, Iowa	$100,001 – $250,000 (F)	RENT	$5,001 – $15,000 (VI)	E
JT	Blom Farm 76.5 acres Alexander, Iowa	$100,001 – $250,000 (F)	RENT	$5,001 – $15,000 (VI)	E

Note - These three farm acreages came from a family trade of farm partnerships reported in previous years as Latham Kanawha Farm, Latham Hospital Farm, and Latham Wright Farm.

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Thomas P. Latham

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1–$1,000	C $1,001–$15,000	D $15,001–$50,000	E $50,001–$100,000	F $100,001–$250,000	G $250,001–$500,000	H $500,001–$1,000,000	I $1,000,001–$5,000,000	J $5,000,001–$25,000,000	K $25,000,001–$50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1–$200	III $201–$1,000	IV $1,001–$2,500	V $2,501–$5,000	VI $5,001–$15,000	VII $15,001–$50,000	VIII $50,001–$100,000	IX $100,001–$1,000,000	X $1,000,001–$5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	401K Pension Plan				X											Not Applicable							Not Applicable									
	Fringe Benefit Design																															
	Individual Retirement Acct			X												Not Applicable							Not Applicable									
	Solomon Smith Barney																															
	First Citizens Nat'l Bank				X											X								X								
	Clarion, Iowa																															
	Municipal Bonds - Solomon				X											X									X							
	Smith Barney - State																															
	Univ. Iowa Revs, Academic																															
	O-Coupon																															
	Smith Barney Municipal		X											X									X									
	Money Market FD-CL-A																															
	Green Circle Inv. Inc.								X					X							X											
	18% Common Stock																															
	Bank Holding Co. for Peoples																															
	Trust + Savings Bank																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Thomas P. Latham

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction P, S, E
	Congressional Federal Credit Union Washington, D.C.	B: $1 – $1,000 X	INTEREST X	II: $201 – $1,000 X	
	People Trust + Saving Bank Adel, Iowa	B: $1 – $1,000 X	INTEREST X	I: None X	
	GE Life + Annuity Company Annuity Contract	E: $50,001 – $100,000 X	Not Applicable	Not Applicable	
	Latham Seed Co. (1/2 Interest) Common Stock, Seed Sales Alexander, Iowa	H: $500,001 – $1,000,000 X	Other Type of Income (Specify): S-Corp Income	IX: $100,001 – $1,000,000 X	
	Farm Buildings Alexander, Iowa	C: $15,001 – $50,000 X	DIVIDENDS X	IV: $1,001 – $2,500 X	

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SCHEDULE IV — TRANSACTIONS

Name Thomas P. Latham | Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Latham Kanawha Farm (80 acres) Partnership Interest 25%			X	12-03-01			X							
	Latham Hospital Farm (360 acres) Partnership Interest (25%)			X	12-03-01				X						
	Latham Wright Farm (674 acres) Partnership Interest 20%			X	12-03-01					X					
	Note - These three Farm Partnerships were dissolved and exchanged my shares for the following three Farm acreages. The partnerships were all with my four brothers														
IT	Modderman Farm 110.7 acres Alexander, Iowa			X	12-03-01					X					
IT	Latimer Farm 93.7 acres Latimer, Iowa			X	12-03-01				X						
IT	Blom Farm 76.8 acres Alexander, Iowa			X	12-03-01				X						

This page may be copied if more space is required.

Name Thomas P. Latham | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Peoples Trust & Savings Bank Adel, Iowa	Unsecured		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	National Oilseeds Processors Assoc	Jan-26-28	Wash, D.C.-Palm Beach, Fla - Wash, D.C.	Y	Y	Y	N
	Chicago Mercantile Exchange	Mar-15-18	Wash, D.C.-Boca Raton, Fla - Wash, D.C.	Y	Y	Y	N

Name Thomas P. Latham | Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Consultant	Latham Seed Co.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES
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(2)

MC

Steven C. LaTourette
(Full Name)

2453 Rayburn H.O.B.
(Mailing Address)

Washington D.C.

Daytime Telephone: 202-225-5731

Filer Status	[X] Member of the U.S. House of Representatives — State: OH District: 19	[ ] Officer or Employee	Employing Office:	
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [✓]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [✓]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [✓]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [✓]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [✓]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [✓]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [✓]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [✓]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [✓]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [✓]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

2661

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name J. LaFourette

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	THRIFT SAVINGS				X											X																

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U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

James A. Leach
(Full Name)

2186 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-6576
Daytime Telephone

(Office Use Only)

Filer Status: ☑ Member of the U.S. House of Representatives — State: IA District 01 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jonathan Leach	5/15/02

2663

SCHEDULE I - EARNED INCOME

Name James A. Leach

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
N/A		

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name James A. Leach

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
N/A			

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Leach Family Farms, Inc.	$250,001 - $500,000	DIVIDENDS	$15,001 - $50,000	
	Mehta Tech, Inc.	$1,000,001 - $5,000,000	INTEREST	$5,001 - $15,000	
	Merrill Lynch CMA	$1 - $1,000	INTEREST	$15,001 - $50,000	S
	Mehta Tech Holdings, LLC	$250,001 - $500,000	DIVIDENDS	$15,001 - $50,000	
SP	Foxley Cattle Company - Sales Contract	$1,000,001 - $5,000,000	CONTRACT PAYMENT	$100,001 - $1,000,000	P
	CMA Treasury Fund	$15,001 - $50,000	INTEREST	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

	Michigan Mun. Bd. Auth. Dev	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
	Amn Water Works	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Avaya	$1 - $1,000	DIVIDENDS	NONE	
	Bell South Corp.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Boeing Company	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Bristol Myers Squibb Co.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Domtar, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Ericson LM Tel.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	GATX Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	FPL Group, Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Great Plains Energy	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	E
	General Electric	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	IMC Global Inc. Dev PV	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Intl Flavors & Fragrances	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

	Lucent Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Lee Enterprises	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Lee Enterprises, Inc. CLB	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Quest Comm. International, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Mattell, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Merck & Co., Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Motorola, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Nestle	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Potash Corp. Saskatchewan	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Regal Beloit Corp.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	SBC Communications, Inc.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Sara Lee Corp.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Standard & Poors Deposit Receipts	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Sysco Corporation	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

	Toys R Us	$1,001 - $15,000	DIVIDENDS	NONE	
	Verizon Communications Com.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Zimmer Holdings, Inc.	$1,001 - $15,000	DIVIDENDS	NONE	
	Vodafone Airtouch	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	ML Eurofund FD CL A	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Templeton Foreign Fund	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	CMA Money Fund	$500,001 - $1,000,000	INTEREST	$15,001 - $50,000	
	H.J. Heinz Co.	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Medtronic, Inc.	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	Merck & Co., Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Nokia Corp.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Pfizer, Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Vivendi Universal	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Texas Utils.	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

	Target Corp.	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	Retirement Reserves Fund	$1 - $1,000	INTEREST	$1 - $200	
SP	Retirement Reserves Fund	$1 - $1,000	INTEREST	$1 - $200	
SP	CBA Money Fund	$1,001 - $15,000	INTEREST	$1 - $200	
SP	CMA Money Fund	$50,001 - $100,000	INTEREST	$1,001 - $2,500	P
SP	Abbott Labs	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Alcoa, Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	AOL Time Warner	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Beckman Coulter	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	Baxter International	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Best Buy	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Chevron Texaco	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Cisco Systems, Inc.	$15,001 - $50,000	DIVIDENDS	NONE	
SP	Colgate Palmolive	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

SP	Corning	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	EMC Corp	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Electra Data Sys Corp.	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	Exxon Mobile	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	General Electric	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Intel Corp.	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	Intl. Bus. Mach.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Johnson & Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Konlnkl Phil E.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Lowes	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	Medtron	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	Merck & Co	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Microsoft	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Nokia	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

SP	Oracle	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Pepsico	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Schlumberger	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Solectron	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Tyco	$50,001 - $100,000	DIVIDENDS	$1 - $200	P
SP	Target	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	TXU	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	United Technologies	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Verizon Communications	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Worldcom	$1,001 - $15,000	DIVIDENDS	NONE	
DC	GATX Corporation	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Lee Enterprises	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
DC	CMA Money Fund	$1,001 - $15,000	INTEREST	$1 - $200	S
DC	McCleod USA	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

DC	Lee Enterprises	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	
DC	McCleod USA	$1,001 - $15,000	DIVIDENDS	NONE	P
DC	Goldman Sachs	$50,001 - $100,000	DIVIDENDS	NONE	P
DC	CMA Money Fund	$1,001 - $15,000	INTEREST	$1 - $200	S
	Lee Enterprises	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	McCleod USA	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Danaher Corp.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Harley Davidson	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Wells Fargo IRA Account	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Wells Fargo IRA Account	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Wyoming Mineral Rights	$1,001 - $15,000	RENT	$5,001 - $15,000	
SP	The Canderock Group Club	$1 - $1,000	DIVIDENDS	$1 - $200	
	Congressional Credit Union	$1 - $1,000	INTEREST	NONE	
	Domtar, Inc.	None	DIVIDENDS	$1 - $200	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Honorable James Leach

	UAL Corp.	None	DIVIDENDS	$1 - $200	S
	Coca Cola	None	DIVIDENDS	$201 - $1,000	S
SP	Lee Enterprises, Inc.	None	DIVIDENDS	$201 - $1,000	S

SCHEDULE IV - TRANSACTIONS

Name Honorable James Leach

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Merrill Lynch CMA	S	Various	$500,001 - $1,000,000
	CMA Treasury Fund	S	Various	$1,001 - $15,000
SP	CMA Money Fund	P	Various	$1,001 - $15,000
SP	Abbott Labs	P	04-17-01	$15,001 - $50,000
SP	Alcoa, Inc.	P	04-17-01	$15,001 - $50,000
SP	AOL Time Warner	P	04-17-01	$15,001 - $50,000
SP	Beckman Coulter	P	07-31-01	$15,001 - $50,000
SP	Baxter International	P	04-17-01	$15,001 - $50,000
SP	Best Buy	P	11-7-01	$15,001 - $50,000
SP	Chevron Texaco	P	04-17-01	$15,001 - $50,000
SP	Colgate Palmolive	P	04-17-01	$15,001 - $50,000
SP	Corning	P	04-17-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Honorable James Leach

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	EMC Corp	P	04-17-01	$1,001 - $15,000
SP	Electra Data Sys Corp.	P	08-14-01	$1,001 - $15,000
SP	Exxon Mobile	P	04-17-01	$15,001 - $50,000
SP	General Electric	P	04-17-01	$15,001 - $50,000
SP	Intel Corp.	P	06-11-01	$15,001 - $50,000
SP	Intl. Bus. Mach.	P	08-27-01	$1,001 - $15,000
SP	Koninkl Phil E.	P	04-17-01	$15,001 - $50,000
SP	Lowes	P	10-17-01	$15,001 - $50,000
SP	Medtron	P	04-17-01	$15,001 - $50,000
SP	Merck & Co	P	04-17-01	$15,001 - $50,000
SP	Microsoft	P	04-17-01	$15,001 - $50,000
SP	Nokia	P	06-11-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Honorable James Leach

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Oracle	P	04-17-01	$15,001 - $50,000
SP	Pepsico	P	04-17-01	$15,001 - $50,000
SP	Schlumberger	P	04-17-01	$1,001 - $15,000
SP	Solectron	P	04-17-01	$1,001 - $15,000
SP	Tyco	P	04-17-01	$50,001 - $100,000
SP	Target	P	08-15-01	$15,001 - $50,000
SP	TXU	P	11-05-01	$1,001 - $15,000
SP	United Technologies	P	04-17-01	$15,001 - $50,000
SP	Verizon Communications	P	04-17-01	$15,001 - $50,000
DC	CMA Money Fund	S	Various	$1,001 - $15,000
DC	McCleod USA	P	08-17-01	$1,001 - $15,000
DC	McCleod USA	P	08-16-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Honorable James Leach

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Goldman Sachs	P	Various	$50,001 - $100,000
DC	CMA Money Fund	S	Various	$1,001 - $15,000
	Lee Enterprises	P	3-26-01	$1,001 - $15,000
	McCleod USA	P	8-16-01	$1,001 - $15,000
SP	Danaher Corp.	P	8-17-01	$1,001 - $15,000
SP	Harley Davidson	P	8-16-01	$1,001 - $15,000
SP	Foxley Cattle Company	P	05-15-01	$1,000,001 - $5,000,000
	AT&T Corp.	S	01-02-01	$1,001 - $15,000
	Kansas City Power & Light	E	10-02-01	$1,001 - $15,000
	Great Plains Energy	E	10-02-01	$1,001 - $15,000
	Singapore Air	S	08-16-01	$100,001 - $250,000
	Domtar, Inc.	S	08-16-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Honorable James Leach

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	UAL Corp.	S	08-16-01	$1,001 - $15,000
	Cais Internet, Inc.	S	04-16-01	$1,001 - $15,000
	Coca Cola	S	04-16-01	$15,001 - $50,000
SP	Lee Enterprises, Inc.	S	04-16-01	$15,001 - $50,000
SP	Lucent Technologies, Inc.	S	04-16-01	$1,001 - $15,000
SP	Payless Shoes, Inc.	S	04-16-01	$1,001 - $15,000
SP	Qualcomm, Inc.	S	04-16-01	$1,001 - $15,000
SP	Avaya, Inc.	S	04-16-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Honorable James Leach

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Nationwide Mortgage	Mortgage on Former Iowa Residence	$250,001 - $500,000
JT	Wells Fargo, N.A.	Mortgage on Maryland Residence	$500,001 - $1,000,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name James A. Leach

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Speaker and Panel Participant at the World Economic Forum, Davos, Switzerland	January 25-29	Washington, D.C. To Davos, Switzerland to Washington, D.C.	Y	Y	N	N/A
The Century Foundation (formerly The Twentieth Century Fund) Winter Board Meeting	February 8-9	Washington, D.C. To New York City, N.Y. To Washington, D.C.	Y	Y	N	N/A
The Century Foundation (formerly The Twentieth Century Fund) Spring Board Meeting	April 26-27	Moline, IL. To New York City, N.Y. To Washington, D.C.	Y	Y	N	N/A
The Century Foundation (formerly The Twentieth Century Fund) Fall Board Meeting	October 18-19	Washington, D.C. To New York City, N.Y. To Cedar Rapids, IA.	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name James A. Leach

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Vice Chair of the Board (unpaid)	The Century Foundation (formerly the Twentieth Century Fund) (non-profit educational foundation)
Member of the Board (unpaid)	Johns Hopkins University School of Advanced International Studies Advisory Council
Member of the Board (unpaid)	The Kettering Foundation, Dayton, Ohio (non-profit educational foundation)
Member of the Baord (unpaid)	Project Vote Smart (non-profit voter education foundation)
Member of the Board (unpaid)	Internews Network, Inc. (non-profit organization that assists in development of a free and independent media worldwide)
Member of Congressional Advisory Committee (unpaid)	John E. Moss Foundation (non-profit foundation promoting the publics interest in Congress)
Member of Congressional Advisory Board (unpaid)	The Victims of Communism Memorial Fund (non-profit)

SCHEDULE IX - AGREEMENTS

Name James A. Leach

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
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2002 MAY 15 PM 4:13 (12)
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U.S. HOUSE OF REPRESENTATIVES
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(Office Use Only)

Barbara Lee
(Full Name)

U.S. House of Representatives, 414 Cannon HOB
(Mailing Address)

Washington, DC 20215

Daytime Telephone: (202) 225-2661

Filer Status	[x] Member of the U.S. House of Representatives — State: CA District: 9	[ ] Officer or Employee	Employing Office:
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [x]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [x]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [x]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [x]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [x]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [x]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [x]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [x]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Barbara Lee	May 15, 2002

Name Barbara Lee	Page 2 of 12

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Barbara Lee	Page 3 of 12

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500

This page may be copied if more space is required.

Name Barbara Lee | Page 4 of 12

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Transaction (P, S, E)
SP, DC, JT *Examples:*	SP Mega Corp. Stock	X	DIVIDENDS X	X	P
	Simon & Schuster	Indefinite	Royalties	X	
	1st Bank of Paducah, KY accounts	X	INTEREST X	X	
	W.G. Parrish Co., Inc. Note from sale of business - payments received from Guilltone Properties, Inc.	X	Note Payment	X	
	Merrill Lynch Cash Management Account	X	INTEREST X		

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Barbara Lee

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction
	State of California Savings Plus Deferred Comp Program - Held in the Following Funds:																															
	Glenmede Inst. Intl.			x																	x											
	T. Rowe Price Mid Cap Gr.			x																	x											
	Domini Social Equity				x																x											
	Vanguard Total Bond Inst.				x																x											
	Manulife Financial Retirement Account Includes The Following Funds:																															S
	Emerging Small Company Fund	x																			x											
	Equity Income Fund	x																			x											
	Investment Quality Bond Fund	x																			x											
	Money Market Fund	x																			x											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Barbara Lee

Page 6 of 12

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPT'D TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Merrill Lynch Retirement Account Includes Following Assets:																															
	Merrill Lynch Money Market Account			x										x								x										
	Adaptive Broadband Corporation Stock	x																			x											S
	GNL Datacomm Ind. Inc. Stock	x																			x											S
	Xerox Corp. Stock				x																x											
	Silicon Graphics Inc. Stock	x																			x											S
	Loral Spacecomm PV Stock			x																	x											
	Lucent Technologies, Inc. Stock				x																x											P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Barbara Lee

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Merrill Lynch Retirement Account (continued):				
	J.C. Penney Co. Stock	C: x	DIVIDENDS: x	II: x	S
	Charles Schwab Money Market Account (opened in 2001)	C: x	DIVIDENDS: x	II: x	
	1250 4th Street SW, Apt. W400, Washington, DC Rental income for parking space (personal residence)	F: x	RENT: x	IV: x	

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SCHEDULE IV — TRANSACTIONS

Name Barbara Lee

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Manulife Financial Retirement Account Cashed out all funds.		x		12-28-01										
	Lucent Technologies Inc. Stock *				7-17-01	x									
	GNL Datacomm Ind. Inc. Stock *		x		4-2-01	**									
	Adaptive Broadband Stock *		x		4-2-01	**									
	SGI Stock *		x		7-17-01	**									
	J.C. Penney Co Stock * (sold portion of stock)		x		7-17-01	x									

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* Stocks held in Merrill Lynch retirement account.

** Stocks sold for less than $1,000

Name Barbara Lee

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Chinese National Association of Industry and Commerce (Fact Finding and Educational Visit)	Jan 6-13	San Francisco - Taiwan - San Francisco	Y	Y	N	N
	AT&T (Technology Fact Finding Tour)	Mar 15-18	Wash., DC - San Jose - Monterey - Wash., DC	Y	Y	N	N
	National Italian American Foundation (Exchange Between Italian and American Officials)	Apr 16-23	Wash., DC - Rome - Calabria - Wash., DC	Y	Y	N	N
	Information Technology Industry Council (Fact Finding Tour with Information Technology Experts)	Apr 26-28	Wash., DC - Dallas - Oakland	Y	Y	N	N
	Communications Workers of America, AFL-CIO (Gave Speech at Convention)	May 18-19	Wash., DC - Orlando - New York City	Y	Y	N	N

This page may be copied if more space is required.

Name	Barbara Lee	Page 11 of 12

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Congressional Black Caucus Policy and Leadership Institute (Educational - Trade Policy Conference)	Jun 8-10	Wash., DC - Charleston - Norfolk -	Y	Y	N	N
	Population Action International (Fact Finding Trip on Effect of Global Gag Rule on International Family Planning)	Aug 25-30	Wash., DC - South Africa - Wash., DC	Y	Y	N	N

This page may be copied if more space is required.

Name	Barbara Lee	Page 12 of 12

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Ghana Children's Fund (Nonprofit, Public Benefit Corporation, a Project of the East Bay Community Foundation)
Honorary Chairman	The Global Aids Alliance (Nonprofit, Public Benefit Corporation)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-751 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 1:56
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Sander Martin Levin
(Full Name)

4801 Morgan Drive Chevy Chase,, MD 20815 — 202-225-4961
(Mailing Address) — Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives — State: MI, District: 12	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Sander Martin Levin	5-14-02

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Sander Martin Levin

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Detroit Free Press Donated to: Focus Hope, Detroit, Michigan	Op Ed	April 18, 2001	$50

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Sander Martin Levin

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Wright Patman Federal Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	NA
JT	1/6 interest in 18 Acres, Tyrone Township, Michigan	$15,001 - $50,000	NA	NONE	NA
JT	1/2 interest in 78 Acres; Tyrone Township, Michigan	$50,001 - $100,000	NA	NONE	NA
	1/9 individual interest in commerical real estate, West Maple, Birmingham, Michigan	$100,001 - $250,000	Rent	$15,001 - $50,000	NA
	5.3% interest in Michigan mineral rights preivously held by LNS Co., a general partnership now liquidated (see attached)	$15,001 - $50,000	NA	$5,001 - $15,000	Royalty

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Sander Martin Levin

	5.3% interest in LRS Co., a general partnership owning real estate in Romulus and Pontiac Townships, Michigan and accounts receivable	$1,001 - $15,000	NA	NONE	NA
JT	Vacation House, Lot 4, West Tisbury, MA	$250,001 - $500,000	RENT	$15,001 - $50,000	NA
JT	Martha's Vineyard Cooperative Bank	$1,001 - $15,000	INTEREST	$1 - $200	NA
JT	Loan: Clark and Bonnie Barnes, Victoria Rd., Tyrone Township, Livinston Co., Michigan	$1,001 - $15,000	NA	NONE	NA
SP	IRA - Merrill Lynch Fundamental Growth D	$1,001 - $15,000	DIVIDENDS	NONE	NA
SP	IRA - Merrill Lynch U.S. Govt. Mortgage Fund CL D	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	NA
	KEOGH - Merrill Lynch Fundamental Growth D	$1,001 - $15,000	DIVIDENDS	NONE	NA
	KEOGH - Merrill Lynch Basic Value Fund CL D	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
	KEOGH - Merrill Lynch - Fidelity Advisor Ser VII Overseas Portfolio CL T	$1,001 - $15,000	DIVIDENDS	NONE	NA
	KEOGH - Merrill Lynch Fundamental Growth D	$1,001 - $15,000	DIVIDENDS	NONE	NA
	KEOGH - Merrill Lynch Fidelity Advisor Growth Opportunities Portfolio CL T	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
	KEOGH - Merrill Lynch Bsic Value Fund CL D	$15,001 - $50,000	DIVIDENDS	$1 - $200	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Sander Martin Levin

	KEOGH - Merrill Lynch Fidelity Advisor Ser VII Overseas Portfolio CL T	$1,001 - $15,000	DIVIDENDS	NONE	NA
	1/6 interest in 18 Acres, Tyrone Township, Michigan	$15,001 - $50,000	NA	NONE	NA
JT	First Union	$1,001 - $15,000	INTEREST	$201 - $1,000	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

ATTACHMENT:

5.3% interest in Michigan mineral rights previously held by LNS Co., a general partnership now liquidated: Shell Western - income - $153; Quicksilver Pipeline LLC, assignee from previous lease - income - $559; Dominion Midwest Energy, assignee from previous lease - income - $5,739; and Muskegon Development Co., an assignee from previous lease - income - $245. The year-end value of these interests are estimated herein based on latest available information and technical advice.

SCHEDULE I - EARNED INCOME

Name Sander Martin Levin

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Victoria Levin, National Institute of Mental Health	Spouse Salary	$75,064.72

SCHEDULE V - LIABILITIES

Name Sander Martin Levin

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Countrywide Home Loans	Mortgage on vacation house, West Tisbury, MA	$250,001 - $500,000
JT	Fleet Mortgage (successor to Bank of Boston)	Equity loan on vacation house, West Tisbury, MA	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Sander Martin Levin

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Harvard Univ. JFK School of Government/The Commonwealth Fund	Jan. 11-13	Wash., DC-Miami	Y	Y	Y	NA
Columbia University	March 16	Wash., DC-New York City-Wash., DC	N	Y	N	NA
Aspen Institute	May 29-June 4	Detroit-Rome-Florence-Milan-Wash., DC	Y	Y	Y	2

SCHEDULE VIII - POSITIONS

Name Sander Martin Levin

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	LRS Company
Board Member	Community Anti-Drug Coalitions of America

	KEOGH - Merrill Lynch Fundamental Growth D	$1,001 - $15,000	DIVIDENDS	NONE	NA
	KEOGH - Merrill Lynch Basic Value Fund CL D	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
	KEOGH - Merrill Lynch - Fidelity Advisor Ser.VII Overseas Portfolio CL T	$1,001 - $15,000	DIVIDENDS	NONE	NA
	KEOGH - Merrill Lynch Fundamental Growth D	$1,001 - $15,000	DIVIDENDS	NONE	NA
	KEOGH - Merrill Lynch Fidelity Advisor Growth Opportunities Portfolio CL T	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
	KEOGH - Merrill Lynch Bsic Value Fund CL D	$15,001 - $50,000	DIVIDENDS	$1 - $200	NA

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 10 AM 11:47
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

22

Jerry Lewis
(Full Name)
2112 Rayburn House OFFICE Bldg. (202)225-5861
(Mailing Address) (Daytime Telephone)
Washington D.C. 20515

Filer Status	☒ Member of the U.S. House of Representatives — State: CA District: 40th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Copy of Financial Disclosure of Spouse is Attached

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jerry Lewis	4-22-02

2707

Name Jerry Lewis	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Legislators' Retirement System, State of CA.	Legislative Pension	$3,576

For payments to charity in lieu of honoraria, use Schedule II.

2708

Name Jerry Lewis | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Press Enterprise, Riverside, CA.	Merit Award (not present at event)	Aug. 2001	$1,000.00

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Name Jerry Lewis | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $6,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B	Block C												Block D											Block E
			A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples:	SP	Mega Corp. Stock				X								X																		P
			Simon & Schuster															X			Royalties					X							
			1st Bank of Paducah, KY accounts					X																		X							
	631 Constitution Ave NE Wash. D.C. 20002			X												X												X					S
	631 Constitution Ave NE Wash. D.C. 20002			X														X												X			E Pending
	Chas. Schwab IRA — ~~Cash~~ + ODNA Stock			X													NONE								NONE								S
	IRA CASH in Chas. Schwab						X											X										X					
	Lewis Family Trust 1/4 sh. (copy attached)						X									Trust Distributions										X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jerry Lewis

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	
	Ddwalle, Inc common stock	A X	INTEREST X	IX X	S
	Corporation at Federal Credit Union	D X	INTEREST X	III X	
	Parcel 13 as shown on map filed, recorded May 23 1979, BK 47, Pgs. 65-66, County of San Bernardino	D X	NONE	NONE	
	Peny Mutual Life Insurance Co Retirement	G X	NONE	NONE	
	Legislators' Retirement System, State of CA	F X	Legislative Pension	V X	
	Arrowhead Credit Union San Bernardino, CA	D X	INTEREST X	III X	
	Arrowhead Credit Union	G X	INTEREST X	Included in above	
	National Capital Bank of Washington Wash. D.C. 20003-1811	G X	INTEREST X	III X	
	Name of Richard Helber Trustee c/o Qualified Intermediary Inc For Jerry & Arlene Willis Lewis (601 Constitution Ave NE Wash. D.C. 20002)				

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SCHEDULE IV — TRANSACTIONS

Name Jerry Lewis

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	631 Constitution NE Washington D.C. 20002 Exchange Pending		X	Pending	12-15-01						X				
	ODWAIIA Common stock		X		12-11-01					X					
	Chas. Schwab & IRA-Cash and ODWAIIA stock-Proceeds to IRA acct.		X		12-11-01			X							

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2712

Name Jerry Lewis | Page 1 of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Greater Atlantic Bank of Virginia	Mortgage on 631 Constitution NE, Wash. DC. 20002					X					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name Jerry Lewis | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NONE						

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2714

Name	Page 1 of 1
Jerry Lewis	

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Loma Linda University Children's Hospital
Vice President (Honorary)	Muscular Dystrophy Association

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
July '59	Penn Mutual Life Insurance Co.	Agent Retirement Plan
1969	Legislators' Retirement System	State of CA

GPO: 2002 71-791 (mac)

Use additional sheets if more space is required.

CONTINUATION OF EDWARD R. LEWIS AND ELAINE L. LEWIS TRUST

The undersigned, Richard J. Lewis, Edward R. Lewis, Jr., C. Jeremy Lewis, and John C. Lewis are the vested sole beneficiaries of the Edward R. Lewis and Elaine L. Lewis Trust executed June 15, 1983, a copy of which is attached hereto. Following the deaths of Edward R. Lewis and Elaine L. Lewis, outright distribution has been made of some of the assets of this Trust, but the assets listed on Schedule A attached hereto continue to be held by C. Jeremy Lewis as Trustee of said Trust for the benefit of all of the undersigned.

The undersigned hereby agree that said property shall continue to be held, administered, and distributed by Trustee of said Trust in accordance with the provisions of said Trust as modified by this instrument.

1. Purpose. The purpose of this Trust as hereby extended shall be for Trustee to manage the assets of this Trust, collect all payments on obligations owed, divide and distribute the proceeds equally between us, liquidate all tangible assets of this Trust, and make distribution of the net proceeds to us.

2. Term. The term of this Trust shall be for so long as necessary to sell the real property and obtain complete payment on all notes and contracts which are the subject of this Trust, or for 10 years from the date of this instrument, whichever first occurs. At the expiration of this Trust, outright distribution shall be made by Trustee to the undersigned in equal shares, if all of them living, or to the successor beneficiaries of each of us as designated on the beneficiary designation of each, if any of us is not living at the time a distribution is to be made.

3. Beneficiary Designations. For so long as each of us are living, all distributions shall be made in equal shares to each of us, with Trustee holding such reserves as Trustee may deem appropriate for the management of the Trust estate. Upon the death of any of us prior to the termination of this Trust, the share of this Trust allocable to such deceased person and all distributions being made for such person shall be delivered to the beneficiaries designated for such person in accordance with the Beneficiary Designation of such deceased person delivered to Trustee. If no Beneficiary Designation has been executed by any of us at the time of the death of any of us or Trustee has not received the original of such Beneficiary Designation when a distribution is to be made, distribution of such deceased person's share shall be made without the need for any probate administration to the beneficiaries of such deceased person's last Will, or if there is no Will, to such deceased beneficiary's intestate heirs according to California's laws of intestate succession. If Trustee has any doubt as to the appropriate distribution to be made, Trustee may, in Trustee's sole discretion, make distribution to the estate of the one of us as to

whom the ambiguity exists or may petition the Court for instructions as to the appropriate distribution. Each of us may modify his Beneficiary Designation at any time by sending to Trustee a duly executed revision and, upon receipt of such change of Beneficiary Designation by Trustee, such change shall be effective.

3.1 Each of us shall be considered as the primary beneficiary of his share of this Trust, and the designated successor beneficiaries shall have no rights or powers concerning this Trust until the interests of such successor beneficiaries vest upon the death of one of us.

3.2 Notwithstanding anything set forth above, Trustee may, in Trustee's sole discretion, at any time elect to distribute all of the assets of this Trust in undivided shares equally between the four primary beneficiaries of the Trust; provided, however, if any of us is then deceased, the distribution of the share of such deceased one of us shall be made to the designated beneficiaries of such deceased person.

4. Additional modifications of Trust. This Trust may be amended at any time by written document executed by the four of us and may be revoked by written document executed by the four of us. It may not be amended or revoked in any other manner.

Executed effective December 1, 1989.

Richard J. Lewis

Edward R. Lewis, Jr.

C. Jeremy Lewis

John C. Lewis

Approved as to form:
GRESHAM, PARKER, SAVAGE, NOLAN & TILDEN

By:
Philip M. Savage, III

All assets in the Edward R. and Elaine L. Lewis Trust dated June 15, 1983 remaining following outright distribution after the death of Edward R. Lewis on May 13, 1988, including but not limited to the following:

1. Note dated 5-18-78 in the amount of $11,933.14 by Mark E. Brandlin, at 7% per annum, payments of $125.00 payable on the 1st day of each calendar month, commencing on 5-1-78, secured by deed of trust recorded 9-4-79 as Instrument 1034, in Book 9763, Page 1571. Reconveyed

2. Note dated 7-18-84 in the amount of $31,750.00 by Robert Bresnahan and Carolyn Bresnahan and Carolyn Bresnahan as joint tenants, and Rob Bresnahan, at 7% per annum, payments of $250.00 payable on the 18th day of each calendar month, commencing on 7-18-79, secured by deed of trust recorded 8-27-84 as Instrument 84-204415. Reconveyed 1/17

3. Note dated 9-1-78 in the amount of $23,245.00 by Gerald W. Bromley and Phyllis Bromley, joint tenants, at 7% per annum, payments of $175.00 payable on the 1st day of each calendar month, commencing 10-1-78, secured by deed of trust recorded 9-4-79 as Instrument 1035, in Book 9763, Page 1572.

4. Real property in San Bernardino County, CA, subject to contract for sale dated 10-26-81 for $32,000.00 by Earl D. Burdett. Reconveyed

5. Real property in San Bernardino County, CA, subject to contract for sale dated 10-26-81 for $32,000.00 by Earl D. Burdett.

6. Real property in San Bernardino County, CA, subject to contract for sale dated 9-16-85 for $60,000.00 by Glasscamp, Inc.

7. Real property in San Bernardino County, CA, subject to contract for sale dated 9-16-85 for $32,000.00 by Glasscamp, Inc. Reconveyed

8. Note dated 7-22-75 in the amount of $14,400.00 by Alan G. DeWeese and Margaret M. DeWeese, at 7% per annum, payments of $125.00 payable on the 23rd day of each calendar month, commencing 8-23-75, secured by deed of trust recorded 9-4-79 as Instrument 1031, in Book 9763, Page 1568. - Reconveyed

9. Note dated 9-24-80 in the amount of $12,575.00 by Edward W. Heber, Jr., and Judith A. Heber, at 7% per annum, payments of $125.00 payable on the 1st day of each calendar month, commencing on 10-1-80, secured by deed of trust recorded 1-19-81 as Instrument 81-012555. Reconveyed

10. Note dated 5-8-78 in the amount of $14,404.22 by James A. and Earleen K. Helm, at 7% per annum, payments of $125.00 payable on the 5th day of calendar month, commencing 6-5-78, secured by deed of trust recorded 9-4-79 as Instrument 1038, in Book 9763, Page 1575.

11. Real property in San Bernardino County, CA, subject to contract for sale dated 4-20-73 for $12,000.00 by Randy Don Hopkinson & Georgette M. Hopkinson. - Reconveyed

12. Note dated 12-24-84 in the amount of $31,750.00 by Sam J. Kahn and Betty L. Kahn as joint tenants, and Robert Craig Bennion and La Ree Bennion as joint tenants, at 7% per annum, payments of $250.00 payable on the 30th day of each calendar month, commencing on 6-30-77, secured by deed of trust recorded 1-2-85 as Instrument 85-000662.

13. Real property in San Bernardino County, CA, subject to contract for sale dated 6-13-79 for $32,000.00 by Carl E. Knauff, Peggy Knauff, Randy W. Roach, Barbara Roach, Stephen F. Jaurigue, Kathleen S. Jaurigue, Philippe J. Tatton, and Susan E. Tatton.

14. Note dated 4-2-84 in the amount of $15,775.00 by Harold E. Koenig, at 7% per annum, payments of $125.00 payable on the 15th day of each calendar month commencing on 9-25-76, secured by deed of trust recorded 5-17-84 as Instrument 84-116000.

15. Note dated 8-31-78 in the amount of $14,000.00 by Albert Lara, at 7% per annum, payments of $125.00 payable on the 30th day of each calendar month, commencing 9-30-78, secured by deed of trust recorded 9-20-79 as Instrument 1137, in Book 9775, Page 1620.

16. Real property in San Bernardino County, CA, subject to contract for sale dated 2-4-84 for $12,000.00 by Richard J. and Donna F. Lewis.

17. Real property in San Bernardino County, CA, subject to contract for sale dated 10-16-79 for $32,000.00 by Marilyn L. Mahan.

18. Note dated 4-1-84 in the amount of $23,600.00 by Michael B. Oliver and Sheila R. Oliver, joint tenants, at 7% per annum, payments of $175.00 payable on the 15th day of each calendar month, commencing on 7-15-77, secured by deed of trust recorded 5-17-84 as Instrument 84-116062.

19. Note by Harold J. Petty and Netty L. Petty at 7% per annum secured by deed of trust recorded as Instrument No. 913 on Dec. 19, 1979 in Book 9583, Page 1403.

20. Note dated 9-28-76 in the amount of $14,011.86 by Melvin L. Smith, Jr., and Marilyn A. Smith, joint tenants, at 7% per annum, payments of $125.00 payable on the 21st day of each calendar month, commencing on 10-21-76. Reconveyed

21. Real property in San Bernardino County, CA, subject to contract for sale dated 5-2-85 for $12,102.28 by Frances M. Stephenson and Austin Shrack.

22. Note dated 4-7-83 in the amount of $28,450.85 by Pauline R. Walton and Bobbie R. Skinner, at 7% per annum, payments of $250.00 payable on the 15th day of each calendar month, commencing 4-15-83, secured by deed of trust recorded 4-19-83 as Instrument 83-082026.

23. Real property in Los Angeles County, CA, subject to contract for sale dated 1-20-88 for $10,000.00 by Rommel Agee.

24. Lot 32 Area 43,608 sq. ft. in Block 265 as delineated on the map entitled Hawaiian Ocean View Estates which said map was filed in the Bureau of Conveyances of the State of Hawaii 4-5-62 as File Plan 787.

25. Improved real property situated in San Bernardino, CA, at 5328 Park Lane, described as: Sold -

Lot 2, Tract 5123 as per plat recorded in Book 62 of maps, page 23, records of San Bernardino County, Assessor's Parcel 154-051-37. - Sold - 1981

26. Improved real property situated in San Bernardino, CA, at 5634 Argyle Street, described as: - Sold in 1990

Lot 29, Tract 5095 as per map recorded in Book 75 of Maps, pages 23-24 in the office of the County Recorder of San Bernardino County.

27. ~~Pacific Savings Bank Account~~ # 0535252-0 - Trans forwd to Ck. acct.

28. Amanda Ford - Sold - 1991
California Franchise Income Fund - Account No. 1120936174

29. Parcel No. 7 as shown on Parcel Map No. 4416 recorded May 23, 1979 in Parcel Map Book No. 47, pages 65 and 66 in the office of the County of San Bernardino, State of California. Quitclaimed to trust by Richard Lewis 9/17/91.

C. Jeremy Lewis

John C. Lewis

Edward R. Lewis

Richard J. Lewis

29. -

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Arlene M. Willis
(Full Name)

2112 Rayburn House OFFice Bldg. (202)225-5861
(Mailing Address) Daytime Telephone:

Washington D.C. 20515

(Office Use Only)

Filer Status	☐ Member of the U.S. House of Representatives — State: ____ District: ____	☒ Officer or Employee	Employing Office: Jerry Lewis, M.C.
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date: ____

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Copy of Financial Statement of Spouse is attached

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Arlene M. Willis	4- -02

2721

Name Arlene M. Willis | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Only as shown on Statement of Spouse attached hereto and made a part hereof		

For payments to charity in lieu of honoraria, use Schedule II.

2722

Name Arlene M. Willis | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Only as shown on Statement of Spouse attached			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Arlene M. Willis | Page 1 of 1

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	Examples: SP Mega Corp. Stock	E	DIVIDENDS X	VI $5,001 – $15,000	P
	DC Simon & Schuster	Indefinite	Other: Royalties	IX $100,001 – $1,000,000	
	JT 1st Bank of Paducah, KY accounts	F	INTEREST X	VI $5,001 – $15,000	

All as shown on Statement of Spouse attached hereto and made a part hereof

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name: Arlene M. Willis | Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		Type of Transaction			Date	Amount of Transaction										
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	As shown on Statement of Spouse attached hereto and made a part hereof – and														
	Chas. Schwab & Co. IRA-Cash and ODWALL A Stock-Proceeds to IRA account in name of Arlene M. Willis		X		12-11-01			X							

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SCHEDULE V — LIABILITIES

Name Arlene M. Willis | Page 1 of 1

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B. $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	As shown on Statement of Spouse attached hereto.											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name Arlene M Willis | Page 1 of 2

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NONE						

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2727

Name Arlene M. Willis | Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	NONE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (mso)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:05
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(9)

2729

John Lewis
(Full Name)

343 Cannon HOB Washington DC, DC 20009
(Mailing Address)

202-225-3801
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: GA District: 5th	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐ No ☑	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☑ No ☐	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Lewis	5-16-02

SCHEDULE I - EARNED INCOME

Name John Lewis

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Clark Atlanta University	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name John Lewis

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
University of the South	Speech	Jan. 22, 2001	$2,000
Warren Wilson College	Speech	April 9, 2001	$2,000
Case Western Reserve	Speech	Nov. 19, 2001	$2,000

SCHEDULE VI - GIFTS

Name John Lewis

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
John F. Kennedy Library Foundation	Monitary Gift (determination made on leadership as a Civil Rights Leader prior to work as a United States Congressman recieved from Committee on Standars)	$25,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Lewis

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
San Antonio MLK Day Parade	Jan. 15	NY--San Antonio--Wash., D.C.	Y	Y	N	N/A
University of the South	Jan. 22-23	ATL--Sewanee, GA--Wash., D.C.	Y	Y	N	N/A
The Cathedral of St. John	Jan 14	Baltimore, MD--NY--San Antonio, TX	N	Y	N	N/A
Fisk University	Feb 12	ATL--Nashville, TN--Wash., D.C	N	Y	N	N/A
University of Albany	Feb. 15	Wash., D.C.--NY--Wash., D.C.	N	Y	N	N/A
U.S. Attorney's Office Philidelphia	Feb. 22	ATL--Phili, PA--ATL	N	Y	N	N/A
Friends of Norman Siegel	Feb. 26	ATL--NY--Wash., D.C.	N	Y	N	N/A
Faith & Politics	March 2-4	Wash., D.C.--Birmingham, AL--Wash., D.C.	Y	Y	N	N/A
University of Florida at Gainsville	March 19-20	ATL--Gainsville, FL--ATL	Y	Y	N	N/A
Warren Wilson College	April 9	ATL--NC--ATL	N	Y	N	N/A
B'Nai Jeshurun Synagogue	April 11	ATL--NY--Wash., D.C.	Y	Y	N	N/A

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Lewis

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Tower Hill School	April 12	Wash., D.C.--Deleware--Wash., D.C.	N	Y	N	N/A
South Carolina NAACP	April 20	ATL--Aiken, SC--ATL	N	Y	N	N/A
Michigan Democratic Party	April 21	ATL--Detroit, MI--ATL	N	Y	N	N/A
Historic Homeownership Tax Credit Field Hearing	April 29	ATL--St. Louis, MO--Wash., D.C.	N	Y	N	N/A
Facing History	May 6	ATL--Memphis, TN--ATL	Y	Y	N	N/A
Freedom Rides	May 10-12	Wash., D.C.--Birmingham, AL--ATL	N	Y	N	N/A
First Amendment Center	May 18	Wash., D.C.--NY--ATL	N	Y	N	N/A
Jackson Madison County NAACP	May 19	ATL--Memphis, TN--ATL	Y	Y	N	N/A
JFK Libray	May 20	ATL--Boston, MA--Wash., D.C.	Y	Y	N	N/A
Northerner's Group	May 26	Wash., D.C--San Francisco, CA--ATL	Y	Y	N	N/A
John Seigenthaler	May 29	Wash., D.C.--NY--Wash., D.C.	N	Y	N	N/A

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Lewis

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Better Way Club	June 9	ATL--Wisconsin--Wash., D.C.	N	Y	N	N/A
Friends of Max Cleland	June 11	Wash., D.C.--Phill, PA--Wash,. D.C.	N	Y	N	N//A
Washington State Black Democrats	June 16	ATL--Seatle, WA--ATL	Y	Y	N	N/A
Phi Beta Sigma	July 13	Wash., D.C.--Detroit, MI--ATL	Y	Y	N	N/A
Speakers Club	July 27-29	Wash., D.C.--West, VA--Wash., D.C.	Y	Y	N	N/A
Watts CODEL	Aug 26-30	Wash., D.C.--West Africa--Wash., D.C.	Y	Y	N	N/A
Florida Democratic Party	Sept. 7	ATL--Memphis, TN--ATL	N	Y	N	N/A
National Association of the Blind	Oct. 1-2	Wash., D.C.--NY--Wash., D.C.	Y	Y	N	N/A
St. Louis NAACP Branch	Oct. 14-15	ATL--St. Louis, MO--Wash., D.C.	Y	Y	N	N/A
ABCD	Oct. 19	ATL--Boston, MA--ATL	Y	Y	N	N/A
Museum of National Heritage	Nov. 4	ATL--Boston, MA--ATL	Y	Y	N	N/A

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Lewis

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
University of Alabama	Nov. 8-9	ATL--Alabam--ATL	Y	Y	N	N/A
Swarthmore College/ Villanova University	Nov. 9-10	ATL--Phili, PA--ATL	Y	Y	N	N/A
Phi Beta Sigma	Nov. 10-11	ATL--Memphis, TN--ALT	Y	Y	N	N/A
American Academy of Opthalmolgy	Nov. 12	ATL--New Orleans, LA--ATL	Y	Y	N	N/A
National Center on Poverty Law	Nov. 13	ATL--Chicago, IL--ATL	Y	Y	N	N/A
Indiana University	Nov. 16	ATL--South Bend, IN	Y	Y	N	N/A
Case Western Reserve	Nov. 19	ATL--Ohio--ATL	Y	Y	N	N/A
Simon Wiesenthal Center	Dec. 13	Wash., D.C.--New York, NY--ATL	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name John Lewis

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Commison on Presidential Debates
Board of Directors	Faith and Politics Institute
Board of Directors	Democrats 2000
Board of Directors	Robert F. Kennedy Memorial, Inc
Board of Directors	Friends of VISTA, Inc
Board of Directors	Stennis Institute of Government

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY -8 PM 12: 26
(Office Use Only)
MC

Ronald Edward Lewis
(Full Name)

553 Lombardy Drive Cecilia, KY 42701
(Mailing Address)

202-225-3501
Daytime Telephone

Filer Status: ☑ Member of the U.S. House of Representatives — State: KY — District: 02 ☐ Officer Or Employee — Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Terminat on Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ron Lewis	5-8-02

2738

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Ronald Edward Lewis

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Duplex Apartment: Mockingbird Drive, Radcliff, Kentucky	$50,001 - $100,000	RENT	$5,001 - $15,000	N/A
SP	Lord Abbett Affiliated (Mutual Fund)	$1,001 - $15,000	CAPITAL GAINS/DIVIDENDS	$201 - $1,000	N/A
SP	Templeton Developing Markets (Mutual Fund)	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	S(partial)
SP	Lord Abbett Bond(Mutual Fund)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
SP	Heritage Cash Fund	$1,001 - $15,000	INTEREST	$1 - $200	N/A
SP	VanKampen Strategeic 10- July (Also called VKMAC Strategic 10)	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Ronald Edward Lewis

SP	Vankampen Strategic 10-October (Also known as VKM Strategic 10) (Unit Trust)	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	P
SP	New Economy Fund (Mutual Fund)	$1,001 - $15,000	NONE	NONE	N/A
SP	Oppenheimer Main Street Fund (Mutual Fund)	$15,001 - $50,000	DIVIDENDS	$1 - $200	N/A
SP	KLA Tencore (Common Stock)	None	None	NONE	S
SP	Nortel (Common Stock)	$1 - $1,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	N/A
SP	Global Star (Common Stock)	$1 - $1,000	None	NONE	N/A
SP	Munder Tech Fund (Mutual Fund)	$1,001 - $15,000	None	NONE	P(partial)
SP	Oppenehimer Global Growth (Mutual Fund)	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	N/A
SP	Alliance Capital Management holding (Common Stock	$1,001 - $15,000	NONE	NONE	P
DC	Hartford Capitol Appreciation Fund (Mutual fund)	$1,001 - $15,000	NONE	NONE	P
DC	Alliance Capitol Management Holding (stock)	$1 - $1,000	NONE	NONE	P

SCHEDULE IV - TRANSACTIONS

Name Ronald Edward Lewis

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Templeton Developing Markets (Mutual Fund)	S	8-29-01	$1,001 - $15,000
SP	KLA Tencore (Common Stock)	S	12/4/01	$1,001 - $15,000
SP	Munder Tech Fund (Mutual Fund)	P	1/01	$1,001 - $15,000
SP	Alliance Capital Management holding (Common Stock	P	8-29-01	$1,001 - $15,000
SP	VanKampen Strategeic 10- July (Also called VKMAC Strategic 10)	P	9/21/01	$1,001 - $15,000
SP	Vankampen Strategic 10-October (Also known as VKM Strategic 10) (Unit Trust)	P	11/19/01	$15,001 - $50,000
DC	Hartford Capitol Appreciation Fund (Mutual fund)	P	08-23-01	$1,001 - $15,000
DC	Alliance Capitol Management Holding (stock)	P	08-23-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Ronald Edward Lewis

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	First Federal Savings Bank	Mortgage on rental property, Mockingbird Drive, Radcliff, KY	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Ronald Edward Lewis

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Harvard University- John F. Kennedy School of government Health Policy Conference	Jan. 11-14	Louisville, KY Fort Lauderdale, FL- Louisville, KY.	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(6)

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES
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John Linder
(Full Name)

Post Office Box 1869
(Mailing Address)

Duluth, Georgia 30096

Daytime Telephone 202-225-4272

Filer Status	[✓] Member of the U.S. House of Representatives	State: ____ District: ____	[ ] Officer or Employee — Employing Office: ____
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date: ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [✓]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [✓]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [✓]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [✓]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [✓]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [✓]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [✓]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [✓]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Linder	5/15/02

2744

Name John Linder | Page 2 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp Stock	$50,001 – $100,000	DIVIDENDS: X		P
DC	Simon & Schuster	Indefinite	Other Type of Income (Specify: For Example, Partnership Income or Farm Income): Royalties		
JT	1st Bank of Paducah, KY accounts	$50,001 – $100,000	INTEREST: X	IV: $2,501 – $5,000	
	Note from sale Linder Financial Corp	$250,001 – $500,000	CAPITAL GAINS: X	None	
	Grayling Industries, INC.	$1,000,001 – $5,000,000	DIVIDENDS: X	$100,001 – $1,000,000	
SP	Cash Fund	$1,001 – $2,500			
JT	Roberts Realty REIT	$250,001 – $500,000	DIVIDENDS: X	IV: $2,501 – $5,000	
SP	Cedarwild Resort	$250,001 – $500,000	INTEREST: X	$100,001 – $1,000,000	
	State of Georgia Retirement	$1,001 – $15,000	QUALIFIED BLIND TRUST: Other Type of Income: Pension		

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: John Linder

Page 3 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Note Receivable, ARCCOM Commercial Lending				X																											
	Trademark Housing, Atlanta, GA	X																														
JT	Money Market Fund (SunTrust Co.)							X								X											X					
	Profit Sharing Trust: (See below)																															
	ATT Corp.				X																											
	Coca-Cola					X																										
	Wachovia				X																											
	Genzyme Transgenics			X																												
	Home Depot				X																											
	Intel						X																									
	IBM						X																									
	Microsoft					X																										
	Pfizer						X																									
	G.E.				X																											
	WebMD				X																											
	Fidelity Blue Chip Growth				X																											
	Janus 20				X																											
	Money Market				X																											
JT	AOL				X																											
JT	IDT Corp				X																											
JT	Vasomedical			X																												
JT	Cash			X																												

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: John Linder

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
SP	Profit Sharing Trust: (see below)																															
SP	Cisco				X																											
SP	JDSU			X																												
SP	Qualcomm				X																											
SP	Cash		X																													
SP	Vanguard Growth Index			X																												
SP	Vanguard Health				X																											
SP	Vanguard US Growth			X																												
	Profit Sharing Trust *													X			X										X					
SP	Profit Sharing Trust *													X			X								X							
JT	Profit Sharing Trust *													X		X							X									

* dividends/cap. gains are reported for each trust rather than each stock in the trust.

This page may be copied if more space is required.

Name JOHN LINDER | Page 5 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Philip MORRIS		X		12-26-01		X								
	G.E.	X			12-26-01		X								

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Name John Linder | Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Trademark Licensing, Inc., Atlanta, GA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 3:59
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

FRANK A. LoBIONDO
(Full Name)

7 HERON LANE
(Mailing Address)

MILLVILLE, NEW JERSEY 08332

Daytime Telephone (202) 225-6572

Filer Status	[X] Member of the U.S. House of Representatives	State: NJ District: 02	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Frank A LoBiondo	5-14-02

2750

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
N/A			

For payments to charity in lieu of honoraria, use Schedule II.

Name FRANK A. LoBIONDO	Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
N/A				

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B		Block C		Block D		Block E
			A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples* SP	Mega Corp Stock				X									X										X								P
		Simon & Schuster		Indefinite																	Royalties										X		
		1st Bank of Paducah, KY accounts						X									X									X							
		LOBIONDO BROTHERS MOTOR EXPRESS, INC. COMMON STK.						X														X											
		S & L PETROLEUM, INC. COMMON STOCK	X															X										X					S
		NEW YORK LIFE INSURANCE POLICY			X																	X											
		FIRST UNION CAPITAL MGMT. GROUP MONEY MARKET ACCT.			X										X								X										
		HUDSON UNITED BANK COMMON						X							X											X							
		FIRST UNION CAPITAL MGMT GROUP IRA ACCOUNT				X									X		X										X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name FRANK A. LoBIONDO

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
	FIRST UNION CAPITAL MGMT:																															
	NJ STATE GENL OB BONDS	X														X						X										S
	PUERTO RICO INFRA BONDS	X														X						X										S
	ACM PRIME PORTFOLIO				X											X									X							
	NEWFIELD NATIONAL BANK ACCOUNT					X										X								X								
	HUDSON UNITED BANK ACCOUNT			X												X						X										
	FRANKLIN GROWTH CLASS I IRA ACCOUNT					X								X		X							X									
	FIRST UNION CAPITAL MGMT. GROUP IRA ACCOUNT				X									X		X								X								
	LoBIONDO BROTHERS MOTOR						X							X		X											X					E
	EXPRESS 401(k) PROFIT																															
	SHARING PLAN AMERICAN FUND																															
	GROUP (INVESTED IN WASH.																															
	MUTUAL INVESTORS FUND:																															
	SELF DIRECTED)																															

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Name frank a. lobiondo | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	BRISTOL-MYERS SQUIBB COMMON STOCK		X		07/27/01	X									
	EXXON MOBILE CORP COMMON STOCK		X		05/03/01	X									
	PHILLIPS PETE CO COMMON STOCK		X		05/03/01	X									
	S & P SMALL CAP 600 INDEX FUND		X		05/23/01	X									
	MIDCAP SPDT TR S&P 400		X		05/23/01	X									
	NEWMONT MINING CORP COMMON STOCK		X		05/23/01	X									
	VISHAY INTERTECHNOLOGY COMMON STOCK		X		05/23/01	X									
	ATMI INC. COMMON STOCK		X		06/06/21	X									
	AMEX FINANCIAL COMMON STOCK	X	X		06/26/01	X									
	CYCLICAL/TRANS COMMON STOCK	X	X		08/17/01	X									
	NASDAQ COMMON STOCK	X	X		11/12/01	X									
	PUERTO RICO COMMONWEALTH BONDS 10K		X		04/20/01	X									
	NEW JERSEY STATE GENL OBIG BONDS 10K		X		05/01/01	X									
	S & L PETROLEUM, INC. COMMON		X		12/31/01		X								

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Name FRANK A. LoBIONDO | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Floycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
N/A							

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
TRUSTEE	VINELAND YOUNG MEN'S CHRISTIAN EDUCATION

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
10-14-96	LoBIONDO BROTHERS MOTOR EXPRESS, INC.	CONTINUING INTEREST IN COMPANY 401(k) PROFIT SHARING PLAN (SELF-SELF DIRECTED

Use additional sheets if more space is required.

HAND DELIVERED

(2)

LEGISLATIVE RESOURCE CENTER

2002 JUN 14 PM 6:59

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

2759

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

Zoe Lofgren
(Full Name)

695 South 16th St. San Jose, CA 95112
(Mailing Address)

(408) 275-1648
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: CA, District: 16	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☑ No ☐	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Zoe Lofgren	June 13, 2002

SCHEDULE I - EARNED INCOME

Name Zoe Lofgren

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
John Marshall Collins, PC	Spouse Salary	N/A
Collins + Day	Spouse Partnership	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Zoe Lofgren

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	609 Riverview, Capitola, CA	$500,001 - $1,000,000	Rent	$15,001 - $50,000	
DC	Alliance Growth Fund Class B	$15,001 - $50,000	Dividends	NONE	
	Bank of America - checking	$1,001 - $15,000	Interest	$1 - $200	
	Bank of America - savings	$1 - $1,000	Interest	$1 - $200	
	California Public Employee Retirement System	$100,001 - $250,000	Interest	$5,001 - $15,000	
	Charles Schwab - IRA Money Market Fund	$1,001 - $15,000	Interest	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Zoe Lofgren

SP	Charles Schwab IRA - MMF	$100,001 - $250,000	Interest	$5,001 - $15,000	
SP	Charles Schwab IRA: Applied Materials Stock	$1,001 - $15,000	Dividends	NONE	
	Charles Schwab MMF Capital One	$100,001 - $250,000	Interest	$5,001 - $15,000	
	Charles Schwab MMFunds	$15,001 - $50,000	Interest	$2,501 - $5,000	
SP	Comerica - checking	$15,001 - $50,000	Other: no interest account	NONE	
DC	Comerica Bank	$1,001 - $15,000	Interest	$1 - $200	
DC	Comerica Bank	$1,001 - $15,000	Interest	$1 - $200	
	Greater Bay Bancorp Stock	$100,001 - $250,000	Dividends	$5,001 - $15,000	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Antigenics	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: AOL Time Warner	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Applied Materials	$15,001 - $50,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Berger Small Cap	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Biogen	$1,001 - $15,000	Dividends	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Zoe Lofgren

SP	John Marshall Collins PC - profit sharing/Charles Schwab: Biotech General	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: BMC Software	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Boeing	$1,001 - $15,000	Dividends	$1 - $200	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Chiron	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: CISCO	$15,001 - $50,000	Dividends	NONE	S,P
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Corning	$1,001 - $15,000	Dividends	NONE	P
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Dell	$15,001 - $50,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Disney	$1,001 - $15,000	Dividends	NONE	P
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Divine Inc	$1 - $1,000	Dividends	NONE	P
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Greater Bay Bancorp	$1,001 - $15,000	Dividends	$1 - $200	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: IDT Corp	$1,001 - $15,000	Dividends	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Zoe Lofgren

SP	John Marshall Collins PC - profit sharing/Charles Schwab: Immunex Corp	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Intel Corp	$15,001 - $50,000	Dividends	$1 - $200	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Micron (renamed Interland)	$1 - $1,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: MMFund	$100,001 - $250,000	Interest	$1,001 - $2,500	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Motorola	$1001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Nastech Pharmaceuticals	None	Dividends/ Capital Gains	NONE/$1,001-$2,500	S
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Nokia	$1,001 - $15,000	Dividends	NONE	P
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Oracle	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Peoplesoft	None	Dividends/ Capital Gains	NONE/$5,001-$15,000	S
SP	John Marshall Collins PC - Profit Sharing/Charles Schwab: SBS Technologies	$1,001 - $15,000	Dividends	NONE	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: St. Jude Medical	None	Dividends/ Capital Gains	NONE/$2,501-$5,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Zoe Lofgren

SP	John Marshall Collins PC - profit sharing/Charles Schwab: Sun Microsystems	$1,001 - $15,000	Dividends	NONE	P
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Sungard Data Systems	None	Dividends/ Capital Gains	NONE/$1,001-$2,500	S
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Texas Instruments	$1,001 - $15,000	Dividends	$1 - $200	
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Worldcom	None	Dividends	NONE	S
	John Marshall Collins PC - stock	$250,001 - $500,000	Dividends	NONE	
DC	Morgan Stanley American Value Fund C	$1,001 - $15,000	Dividends	NONE	
DC	Morgan Stanley Global Equity Allocation Fund Class A	$15,001 - $50,000	Dividends	NONE	
DC	Morgan Stanley Global Equity Allocation Fund Class B	$1,001 - $15,000	Dividends	NONE	
	Penn Mutal Life Insurance	$1,001 - $15,000	Interest	$201 - $1,000	
DC	Smith Barney MMFunds	$1 - $1,000	Interest	$1 - $200	
	Wells Fargo/ICMA Deferred Compensation Account - CD	$100,001 - $250,000	Interest	$5,001 - $15,000	

SCHEDULE IV - TRANSACTIONS

Name Zoe Lofgren

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Peoplesoft	S	06-01-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: St. Jude Medical	S	03-21-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Sun Microsystems	P	01-03-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Sungard Data Systems	S	03-21-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Worldcom	S	04-16-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: CISCO	S	06-14-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Disney	P	06-28-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Corning	P	04-16-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Nokia	P	06-13-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Biogen	S	08-20-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Peoplesoft	S	05-08-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Worldcom	S	04-16-2001	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Zoe Lofgren

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Nastech Pharmaceuticals	S	06-01-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: CISCO	P	01-03-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Antigenics	P	05-15-2001	$1,001 - $15,000
SP	John Marshall Collins PC - profit sharing/Charles Schwab: Immunex Corp	P	04-16-2002	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Zoe Lofgren

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Washington Mutual	Mortgage on 609 Riverview, Capitola, CA	$250,001 - $500,000

SCHEDULE VIII - POSITIONS

Name Zoe Lofgren

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Mother	Lofgren-Collins Household
Member	Santa Clara University Law School Board of Visitors
Co-Chair	Housing Leadership Advisory Council

SCHEDULE IX - AGREEMENTS

Name Zoe Lofgren

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	California Public Employee Retirement System (through County of Santa Clara, CA)	Continuing membership (vested), no continuing contribution by employer or employee
	Wells Fargo Bank & ICMA (through County of Santa Clara, CA)	Savings Plan, no contributions by employer or employee

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 20
For use by Members, officers, and employees

NITA M. LOWEY
(Full Name)

2329 RAYBURN HOUSE OFFICE BUILDING WASHINGTON, DC 20515 — (Mailing Address)

202-225-6506 — Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District: 18	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Nita M Lowey	6/11/02

SCHEDULE I - EARNED INCOME

Name NITA M. LOWEY

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Lowey Dannenberg Bemporad & Selinger, P.C	Spouse Salary	N/A
NY State & Local Employees Retirement System	NML Pension	$9,148.08

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Excludes: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Ackerley Group***	None	Dividends	$1 - $200	P, S
SP	AIG*	$15,001 - $50,000	Dividends	$1 - $200	
JT	AIG*****	$15,001 - $50,000	DIVIDENDS	NONE	
SP	Airborne**	$1,001 - $15,000	Capital Gains	$1 - $200	P
SP	Alliance Muni Tr****	$250,001 - $500,000	Interest	$1,001 - $2,500	
SP	Alltel Corp.*	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	American Express*	$15,001 - $50,000	Dividends	$1 - $200	
JT	American Express*****	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Amgen*	$15,001 - $50,000	Dividends	NONE	
JT	Amgen*****	$50,001 - $100,000	Dividends	NONE	
JT	Anadarko*****	$15,001 - $50,000	CAPITAL GAINS	$1 - $200	
JT	Anheuser Busch*****	$15,001 - $50,000	Dividends	NONE	
SP	AOL Time Warner, formerly America Online*	$1,001 - $15,000	CAPITAL GAINS	NONE	
JT	AOL Time Warner, formerly America Online*****	$50,001 - $100,000	Dividends	NONE	
SP	Arbiter Partners	$250,001 - $500,000	CAPITAL GAINS	NA	P
SP	AT&T*	None	Dividends	$1 - $200	S
SP	Avatar Conv. 7% of '05****	None	Interest	NONE	S
SP	Avatar Holdings****	None	Dividends	NONE	S
SP	Avaya* (Distribution from Lucent)	$1,001 - $15,000	CAPITAL GAINS	NONE	
SP	Azurix***	None	CAPITAL GAINS	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	Baker Hughes*	$1,001 - $15,000	Dividends	$1 - $200	
SP	Bank of America*	$15,001 - $50,000	Dividends	$1 - $200	
SP	Bank of America**	$15,001 - $50,000	Dividends	$1 - $200	
SP	Bank One*	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Bear Stearns (see attached)	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	
SP	Bed Bath & Beyond**	$15,001 - $50,000	CAPITAL GAINS	NONE	
SP	Big City Radio***	None	Dividends	NONE	S
SP	C-Cor Net*	$1,001 - $15,000	CAPITAL GAINS	NONE	
SP	Caterpillar, Inc.**	$15,001 - $50,000	/DIVIDENDS	$201 - $1,000	
JT	Chase Bank (checking)	$1,001 - $15,000	Interest	$1 - $200	
JT	Chief Auto Parts10.5% OF 05******	None	Interest	NONE	S
SP	Chiles Offshore****	None	CAPITAL GAINS	NONE	S
SP	Cisco Systems*	$1,001 - $15,000	CAPITAL GAINS	NONE	
JT	Citicorp Investment Services/Fiserv/Landmark Fund	$250,001 - $500,000	Interest	NA	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	Citigroup*	$100,001 - $250,000	Dividends	$1,001 - $2,500	
JT	Citigroup*****	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Citizens Com.***	None	CAPITAL GAINS	NONE	S
SP	Colgate Palmolive*	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Corning*	$1,001 - $15,000	Dividends	NONE	
SP	Crowley Maritime****	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Crown Castle (TWRS)*******	NA	CAPITAL GAINS	NA	Other - see Ftnt 1 Sch III
SP	Dana Corp.**	None	CAPITAL GAINS	NONE	P, S
SP	Delphi Automotive*	$1,001 - $15,000	Dividends	$1 - $200	
SP	Diebold Inc.**	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	P
SP	DST Systems**	$15,001 - $50,000	Dividends	NONE	
SP	Eastman Kodak*	$1,001 - $15,000	Dividends	$201 - $1,000	
JT	EGS Partners	$500,001 - $1,000,000	Dividends/Capital Gains	NA	
SP	Entertainment Pptys****	$50,001 - $100,000	DIVIDENDS	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	Ethyl Corp.***	None	DIVIDENDS	NONE	S
SP	Exar Corp.**	$50,001 - $100,000	CAPITAL GAINS	NONE	
SP	Fannie Mae*	$1,001 - $15,000	Dividends	NONE	
SP	Fedex**	$15,001 - $50,000	CAPITAL GAINS	NONE	P
SP	Florida East Coast Inds****	None	/DIVIDENDS	NONE	S
JT	Gannett*****	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	P
JT	Gap*****	$1,001 - $15,000	Dividends	$1 - $200	
SP	General Electric*	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	General Motors*	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	Gillette*	$15,001 - $50,000	Dividends	$201 - $1,000	
JT	Gulf States Stl 13.5 of 03********	NA	INTEREST	NA	Other - seeFtnt 1 Sch III
SP	H. J. Heinz*	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	Ingalls & Snyder Value Fund	$1,000,001 - $5,000,000	Interest/Capital Gains	NA	
SP	Int'l Paper**	$1,001 - $15,000	Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	Interpool Inc.****	$50,001 - $100,000	Dividends	$201 - $1,000	
	IRA - Salomon Smith Barney/CC	$50,001 - $100,000	NA	NONE	
SP	IRA - The Kaufmann Fund	$500,001 - $1,000,000	NA	NONE	
SP	IRA - Tweedy Browne	$250,001 - $500,000	NA	NONE	
SP	JB Hunt Trspt***	None	Dividends	NONE	S
SP	JP Morgan/Chase Manhattan*	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	King Pharm.**	$1,001 - $15,000	CAPITAL GAINS	NONE	
JT	Lebenthal NY Muni Bond Fund	$250,001 - $500,000	Interest	NA	
JT	Lebenthal Portfolio of NY Tax-Free Bonds (attached)	$1,000,001 - $5,000,000	Interest	$50,001 - $100,000	
SP	Lennar Corp.**	$50,001 - $100,000	Dividends	$1 - $200	
JT	Loehmann's 11.875 of 03******	$15,001 - $50,000	INTEREST	$5,001 - $15,000	
	Loehmann's Sr Nts 11.875 of 03*******	$50,001 - $100,000	CAPITAL GAINS	NONE	Other - see LFI footnote
JT	Loehmann's******	$1,001 - $15,000	CAPITAL GAINS	NONE	
SP	Lowey Dannenberg Bemporad & Selinger Profit Sharing Plan	$1,000,001 - $5,000,000	Capital Gains/Dividends/Interest	NA	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	Lowey Dannenberg Bemporad & Selinger, P.C.	$1,000,001 - $5,000,000	Interest in law firm	NA	
SP	Lowey Family Investment LLC/A (see footnote 1)	$250,001 - $500,000	CAPITAL GAINS	NA	
	Lowey Family Investment LLC/A (see footnote 1)	$1,000,001 - $5,000,000	Capital Gains	NA	
SP	Lowey Family Investment LLC/B (see footnote 1)	$1,000,001 - $5,000,000	Capital Gains	NA	
SP	Lucent*	$1,001 - $15,000	Dividends	$1 - $200	
JT	M.D. Sass Multistrategy	$500,001 - $1,000,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
JT	M.D. Sass Reenterprise Fund	$1,000,001 - $5,000,000	Capital Gains	NA	
JT	McDonalds*****	$15,001 - $50,000	Dividends	NONE	
SP	Mellon Fin'l*	$15,001 - $50,000	Dividends	$201 - $1,000	
JT	Merrill Lynch*****	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Metromedia***	None	DIVIDENDS	NONE	S
SP	Microchip Tech.**	$15,001 - $50,000	CAPITAL GAINS	NONE	
SP	Microsoft*	$50,001 - $100,000	CAPITAL GAINS	NONE	
JT	Microsoft*****	$15,001 - $50,000	CAPITAL GAINS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

JT	Minnesota Mining*****	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Nanogen*	$1,001 - $15,000	CAPITAL GAINS	NONE	
SP	Navigators Group****	$15,001 - $50,000	CAPITAL GAINS	NONE	P
JT	New York Times*****	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Newhall LPshp***	None	Dividends	$201 - $1,000	S
SP	Newhall Ppshp****	$50,001 - $100,000	Dividends	$1,001 - $2,500	
SP	Newmont Mining****	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	
JT	Nokia Corp ADRs*****	None	Dividends	NONE	S
SP	Nortel Networks**	$1,001 - $15,000	CAPITAL GAINS	NONE	
SP	NTN Comm'ns**	$15,001 - $50,000	CAPITAL GAINS	NONE	
	NYS Def. Compensation Plan	$50,001 - $100,000	NA	NONE	
	NYS Retirement Plan	NA	Retirement plan payments	$5,001 - $15,000	
SP	Octel***	None	Dividends	NONE	S
SP	Oppenheimer & Spence Investment Pp.	$250,001 - $500,000	Dividends/Capital Gains	NA	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	P. Oppenheimer Investment Pp.	$500,001 - $1,000,000	Dividends/Capital Gains	NA	
SP	Paychex**	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	PBOC Holdings****	None	CAPITAL GAINS	NONE	S
SP	Peoples Pfd Cap****	$15,001 - $50,000	Dividends	$2,501 - $5,000	
SP	Pepsico*	$1,001 - $15,000	Dividends	$1 - $200	
SP	Pepsico**	$1,001 - $15,000	Capital Gain	$1 - $200	P
SP	Pfizer*	$15,001 - $50,000	Dividends	$201 - $1,000	
JT	Pfizer*****	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Presidential Life Corp.***	None	DIVIDENDS	NONE	S
SP	Procter & Gamble*	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Pru Muni MM Fund**	$15,001 - $50,000	Interest	$201 - $1,000	
JT	Psinet******	None	CAPITAL GAINS	NONE	S
	Put option - Gt. Atlantic & Pacific Tea Jan 15*******	NA	CAPITAL GAINS	NA	Other-see note re LFI
JT	Ralph's Grocery 10.45 of 04******	None	Interest	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

JT	Saf-T-Lok******	None	DIVIDENDS	NONE	S
SP	Santa Monica Ptnrs	$250,001 - $500,000	Capital Gains	NA	
SP	SB Money Funds Govt***	$15,001 - $50,000	Dividends	$2,501 - $5,000	
SP	SB Muni NY Money Market Port Class A	$15,001 - $50,000	Interest	$2,501 - $5,000	
SP	SBC Comm'ns**	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	Schlumberger*****	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Scottish Annuity***	None	Dividends	NONE	S
SP	Seacor Smit****	$15,001 - $50,000	CAPITAL GAINS	NONE	P
SP	Security Capital Gp***	None	Dividends	NONE	S
	Short/Goodyear Tire Nts 8.125 of 03*******	None	CAPITAL GAINS	NONE	Other-see note re LFI
	Short/Gt Atlantic & Pacific Tea*******	None	CAPITAL GAINS	NONE	Other-see note re LFI
	Short/Metals &SA Sr Nt 8.625 of 08*******	None	CAPITAL GAINS	NONE	Other-see note re LFI
	Short/SoCalEdison Nt 7.625 of 10*******	None	CAPITAL GAINS	NONE	Other-see note re LFI
SP	St. Joe Corp****	None	Dividends	$1 - $200	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

SP	T. Rowe Price**	None	DIVIDENDS	NONE	S
SP	Teva Pharm**	$50,001 - $100,000	Dividends	$201 - $1,000	
SP	Texas Instruments*	$1,001 - $15,000	Dividends	$1 - $200	
SP	Tidewater**	$1,001 - $15,000	CAPITAL GAINS	NONE	P
	Tultex Sr Nt 9.625 of 07******	$15,001 - $50,000	CAPITAL GAINS	NONE	
JT	Tultex******	$15,001 - $50,000	CAPITAL GAINS	NONE	
SP	Tyco*	$50,001 - $100,000	CAPITAL GAINS	$1 - $200	P
SP	Tyco**	$15,001 - $50,000	CAPITAL GAINS	$1 - $200	P
	US Gov't Thrift Savings Plan	$15,001 - $50,000	NA	NONE	Other
SP	Verizon (formerly GTE Corp.)*	None	Dividends	NONE	Other
SP	Verizon* (formerly Bell Atlantic)	$250,001 - $500,000	Dividends	$5,001 - $15,000	
JT	Walgreen*****	$15,001 - $50,000	Dividends	$1 - $200	
JT	Walmart*****	$15,001 - $50,000	Dividends	$1 - $200	
SP	Washington Mut'l*	$1,001 - $15,000	Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NITA M. LOWEY

JT	Wells Fargo*****	$15,001 - $50,000	Dividends	$201 - $1,000	
SP	Wellsford RI Ppty****	$15,001 - $50,000	CAPITAL GAINS	NONE	P
SP	Worldcom*	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
SP	Worldcom**	None	CAPITAL GAINS	NONE	P, S

SCHEDULE IV - TRANSACTIONS

Name NITA M. LOWEY

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Airborne**	P	7/18/01	$1,001 - $15,000
JT	Citigroup*****	P	3/22/01	$15,001 - $50,000
SP	Citizens Com.***	S	3/22/01	$15,001 - $50,000
SP	Diebold Inc.**	P	8/24/01	$1,001 - $15,000
SP	Fedex**	P	2/7/01	$15,001 - $50,000
JT	Gannett*****	P	3/22/01	$15,001 - $50,000
JT	Microsoft*****	P	4/12/01	$15,001 - $50,000
SP	Navigators Group****	P	3/28/01	$15,001 - $50,000
SP	Tidewater**	P	2/27/01	$15,001 - $50,000
SP	Seacor Smit****	P	11/15/01	$15,001 - $50,000
SP	Tyco*	P	3/14/01	$1,001 - $15,000
SP	Wellsford RI Ppty****	P	5/4/01 and 5/9/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name NITA M. LOWEY

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Ackerley Group***	P,S	P 1/24/01 S 11/20/01	$1,001 - $15,000
SP	Arbiter Partners	P	3/31/01	$250,001 - $500,000
SP	AT&T*	S	5/11/01	$1,001 - $15,000
SP	Avatar Conv. 7% of '05****	S	12/21/01	$15,001 - $50,000
SP	Avatar Holdings****	S	12/20/01	$15,001 - $50,000
SP	Azurix***	S	1/11/01	$15,001 - $50,000
SP	Big City Radio***	S	3/23/01	$15,001 - $50,000
JT	Chief Auto Parts 10.5% of '05******	S	12/27/01	$15,001 - $50,000
SP	Chiles Offshore****	S	12/20/01	$15,001 - $50,000
SP	Ethyl Corp.***	S	3/23/01	$1,001 - $15,000
SP	Florida East Coast Inds.****	S	12/20/01	$1,001 - $15,000
SP	JB Hunt Trspt***	S	3/22/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name NITA M. LOWEY

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Metromedia***	S	11/20/01	$1,001 - $15,000
SP	Newhall LPShip***	S	3/22/01	$15,001 - $50,000
JT	Nokia Corp. ADRs*****	S	7/25/01	$15,001 - $50,000
SP	Octel***	S	3/22/01 3/27/01	$15,001 - $50,000
SP	PBOC Holdings****	S	5/1/01	$50,001 - $100,000
SP	Presidential Life***	S	4/23/01	$15,001 - $50,000
SP	Scottish Annuity***	S	3/27/01	$15,001 - $50,000
SP	Security Capital Group***	S	3/22/01	$15,001 - $50,000
SP	St. Joe Corp.****	S	8/15/01	$15,001 - $50,000
SP	T. Rowe Price**	S	4/30/01	$1,001 - $15,000
SP	Dana Corp.**	P, S	P 6/6/01 S 7/17/01	$1,001 - $15,000
SP	Pepsico**	P	8/24/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name NITA M. LOWEY

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Worldcom**	P, S	P 8/7/01 S 11/16/01	$15,001 - $50,000
SP	Tyco**	P	2/7/01	$15,001 - $50,000
	Transactions in the Lowey Family Investment LLC account******* - SEE ATTACHED MONTHLY STATEMENTS FOR ALL TRANSACTIONS IN 2001.	Other	Various	Various

FOOTNOTES

Name NITA M. LOWEY

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Lowey Family Investment LLC consists of two accounts, A and B. At 12/31/01, member owned a 47.18% interest in account A, which is invested in securities on a discretionary basis by the account manager at Brownstone Investment Group. SP owned a 13.73% interest in account A. Neither member nor SP directs investments in account A. SP also owns an interest in account B, which is invested in Brownstone Investment Group LLC, a privately owned broker-dealer firm. Member has no investment in account B.	Lowey Family Investment LLC (see text)
2	Schedule III	Verizon - henceforth we show the Verizon position in the *Salomon Smith Barney/AS A/C on one line, irrespective of whether it was formerly GTE or Bell Atlantic	Verizon (formerly GTE Corp.)*
3	Schedule III	PBOC Holdings - Cash Merger 5/1/01, $10 per share	PBOC Holdings****
4	Schedule III	US Gov't Thrift Savings Plan: according to the instructions, this need not be listed; we will delist it next year	US Gov't Thrift Savings Plan
5	Schedule III	Citizens Com. - This position was purchased in '98 and sold in '01. Probably sold part in an earlier year, but erroneously reported entire position sold at that time.	Citizens Com.***
6	Schedule IV	PBOC/Cash merger effective 5/1/01	PBOC Holdings****
8	Schedule III	Key to asterisks: *Account at Salomon Smith Barney/AS **Account at Prudential Securities ***Account at Salomon Smith Barney/PM (closed in 2001) ****Account at Oppenheimer & Close *****Account at Neuberger & Berman ******Account at National Financial Services (closed in 2002) *******Lowey Family Investment LLC/A/NML (See footnote 1 above) ********Lowey Family Investment LLC/A/SP (See footnote 1 above)	All lines on Schedule III & Schedule IV w/asterisk

FOOTNOTES

Name NITA M. LOWEY

Number	Section / Schedule	Footnote	This note refers to the following item
9	Schedule IV	At 12/31/01, member owned 47.18% and SP owned 13.73% of Lowey Family Investment LLC/A. Account statements for 2001 showing all transactions in the Brownstone account are attached.	Lowey Family Investment LLC/A - Member and SP

BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN NEW YORK 11201-3859

2001 CONSOLIDATED FORM 1099
Page 1

Telephone Number: (212) 272-0495

RECIPIENT'S Name, Street Address, City, State, and Zip Code
NITA LOWEY MOL05000784
105 BEVERLY ROAD
RYE NY 10580-1902

Original 12/31/01 ☐ 2nd B Notice

PAYER'S FED ID NUMBER	ACCOUNT NUMBER	ACCOUNT EXECUTIVE	RECIPIENT'S FED ID NUMBER
13-3604093	042-44287	MR3	017-30-2729

LEASE READ THE ENCLOSED TAX GUIDE FOR A COMPLETE EXPLANATION OF THE TAX INFORMATION ON OUR 2001 CONSOLIDATED FORM 1099. INCLUDED WITH THE CONSOLIDATED FORM 1099 IS A CONDENSED NCOME SUMMARY STATEMENT OF YOUR 1099 REPORTABLE AND NONREPORTABLE INVESTMENT ACTIVITY. LL AMOUNTS ON THE CONSOLIDATED FORM 1099 WILL BE REPORTED TO THE IRS. KINDLY CONTACT YOUR CCOUNT EXECUTIVE WITH QUESTIONS CONCERNING THE COST BASIS OR ANY OTHER INFORMATION.

001 FORM 1099-INT: INTEREST INCOME (OMB NO. 1545-0112)

(BOX)	(AMOUNT)
1. Interest Income not included in Box 3	61.36
2. Early Withdrawal Penalty	0.00
3. Interest on US Savings Bonds & Treas. Obligations	0.00
4. Federal Income Tax Withheld	0.00
5. Investment Expenses	0.00
6. Foreign Tax Paid	0.00

001 FORM 1099-DIV: DIVIDENDS & DISTRIBUTIONS (OMB NO. 1545-0110)

(BOX)	(AMOUNT)
1. Ordinary Dividends	0.00
2a. Total Capital Gain Distributions	206.25
2b. 28% Rate Gain	0.00
2c. Qualified 5-Year Gain	102.16
2d. Unrecaptured Section 1250 Gain	0.00
2e. Section 1202 Gain	0.00
3. Nontaxable Distributions	0.00
4. Federal Income Tax Withheld	0.00
5. Investment Expenses	0.00
6. Foreign Tax Paid	0.00
8. Cash Liquidation Distributions	0.00
9. Noncash Liquidation Distributions	0.00

- CONTINUED -

IS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE NALTY WILL BE IMPOSED ON YOU IF ANY OF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED.

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BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN NEW YORK 11201-3859

Telephone Number: (212) 272-0495

2001 CONSOLIDATED FORM 1099
Page 2

RECIPIENT'S Name, Street Address, City, State, and Zip Code
NITA LOWEY
105 BEVERLY ROAD
RYE NY 10580-1902

Original 12/31/01 ☐ 2nd B Notice

PAYER'S FED ID NUMBER	ACCOUNT NUMBER	ACCOUNT EXECUTIVE	RECIPIENT'S FED ID NUMBER
13-3604093	042-44287	MR3	017-30-2729

2001 FORM 1099-B: PROCEEDS FROM BROKER & BARTER EXCH. TRANS. (OMB NO. 1545-0715)

(1A) DATE F SALE	(5) DESCRIPTION	(1B) CUSIP	(2) STOCKS, BONDS, ETC GROSS PROCEEDS	(4) FED TAX WITHHELD
)7/02	NEW YORK STATE DORM AUTH REVS DUE 07/01/2001 04.500% QUANTITY: 75,000	649834LC0	75,000.00	0.00 REDEMPTION
12/03	WESTCHESTER CO N Y DUE 12/01/2001 07.100% QUANTITY: 10,000	957365SV2	10,000.00	0.00 REDEMPTION
	2 ITEMS - Total		85,000.00	0.00

2001 FORM 1099-OID: ORIGINAL ISSUE DISCOUNT (OMB NO. 1545-0117)

*** NO REPORTABLE 2001 FORM 1099-OID INCOME ***

2001 FORM 1099-MISC: MISCELLANEOUS INCOME (OMB NO. 1545-0115)

*** NO REPORTABLE 2001 FORM 1099-MISC INCOME ***

END OF 2001 CONSOLIDATED FORM 1099

IS IS IMPORTANT TAX INFORMATION AND IS BEING FURNISHED TO THE INTERNAL REVENUE SERVICE. IF YOU ARE REQUIRED TO FILE A RETURN, A NEGLIGENCE NALTY WILL BE IMPOSED ON YOU IF ANY OF THIS INCOME IS TAXABLE AND THE IRS DETERMINES THAT IT HAS NOT BEEN REPORTED
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BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN NEW YORK 11201-3859

Telephone Number: (212) 272-0495

2001 DETAILED INCOME STATEMENT
Page 1

RECIPIENT'S Name, Street Address, City, State, and Zip Code
NITA LOWEY
105 BEVERLY ROAD
RYE NY 10580-1902

Original 12/31/01 ☐ 2nd B Notice

PAYERS FED ID NUMBER	ACCOUNT NUMBER	ACCOUNT EXECUTIVE	RECIPIENT'S FED ID NUMBER
13-3604093	042-44287	MR3	017-30-2729

THE DETAIL INCOME STATEMENT IS A CONDENSED SUMMARY OF 2001 REPORTABLE AND NON REPORTABLE INVESTMENT ACTIVITY.

TE	DESCRIPTION	DISTRIBUTION	AMOUNT	COMMENT
	DIVIDENDS			
	BLACKROCK NEW YORK INSURED MUNICIPAL 2008 TERM TRUST INC	L/T CAP GAINS	104.09	
		5YR QUALIFIED GAINS	102.16	
	TOTAL DIVIDENDS			
	LONG-TERM CAPITAL GAINS		104.09	
	5-YEAR QUALIFIED GAINS		102.16	
	TOTAL CAPITAL GAINS		206.25	
	INTEREST DETAILS			
	TOTAL CREDIT INTEREST		61.36	
	NON REPORTABLE INCOME			
	BLACKROCK NEW YORK INSURED MUNICIPAL 2008 TERM TRUST INC	DIVIDEND	2,475.00	
	HARRISON N Y G/O DUE 06/15/2004 AT 5.400%	INTEREST	2,700.00	
	LONG ISLAND PWR AUTH N Y ELEC DUE 04/01/2006 AT 5.000%	INTEREST	750.00	
	METROPOLITAN TRANSN AUTH N Y DUE 04/01/2007 AT 5.000%	INTEREST	1,250.00	
	MUNICIPAL ASSISTANCE CORP DUE 07/01/2002 AT 4.700%	INTEREST	940.00	

- CONTINUED -

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BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN NEW YORK 11201-3859

Telephone Number: (212) 272-0495

2001 DETAILED INCOME STATEMENT

Page 2

RECIPIENT'S Name, Street Address, City, State, and Zip Code
NITA LOWEY
105 BEVERLY ROAD
RYE NY 10580-1902

Original 12/31/01 ☐ 2nd B Notice

PAYER'S FED ID NUMBER	ACCOUNT NUMBER	ACCOUNT EXECUTIVE	RECIPIENT'S FED ID NUMBER
13-3604093	042-44287	MR3	017-30-2729

ATE	DESCRIPTION	DISTRIBUTION	AMOUNT	COMMENT
	NEW YORK CITY G/O RFDG SER A DUE 08/01/2005 AT 6.000%	INTEREST	1,500.00	
	NEW YORK CITY G/O-SER G RFDG DUE 02/01/2010 AT 5.750%	INTEREST	2,875.00	
	NEW YORK CITY G/O NEW MONEY DUE 08/01/2009 AT 5.300%	INTEREST	2,120.00	
	NEW YORK CITY G/O SER-H DUE 08/01/2005 AT 5.000%	INTEREST	1,500.00	
	NEW YORK N Y G/O SER A DUE 08/01/2006 AT 4.600%	INTEREST	2,300.00	
	NEW YORK N Y G/O SER A DUE 08/01/2010 AT 5.250%	INTEREST	2,362.50	
	NEW YORK N Y CITY MUN WTR FIN DUE 06/15/2025 AT 5.250%	INTEREST SHORT ACCRUED INT.	656.25 444.79-	
	NEW YORK CITY MUN WTR FIN AUTH DUE 06/15/2002 AT 4.900%	INTEREST	980.00	
	NEW YORK N Y CITY TRANSITIONAL DUE 02/01/2011 AT 4.375%	INTEREST	267.36	
	NEW YORK STATE G/O DUE 02/01/2005 AT 6.750%	INTEREST	1,687.50	
	NEW YORK ST G/O SER B DUE 03/01/2008 AT 5.000%	INTEREST	1,250.00	
	NEW YORK STATE DORM AUTH REVS DUE 07/01/2002 AT 5.400%	INTEREST	1,350.00	

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BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN NEW YORK 11201-3859

Telephone Number: (212) 272-0495

2001 DETAILED INCOME STATEMENT
Page 3

RECIPIENT'S Name, Street Address, City, State, and Zip Code
NITA LOWEY
105 BEVERLY ROAD
RYE NY 10580-1902

Original 12/31/01 ☐ 2nd B Notice

PAYER'S FED ID NUMBER	ACCOUNT NUMBER	ACCOUNT EXECUTIVE	RECIPIENT'S FED ID NUMBER
13-3604093	042-44287	MR3	017-30-2729

.TE	DESCRIPTION	DISTRIBUTION	AMOUNT	COMMENT
	NEW YORK STATE DORM AUTH REVS DUE 07/01/2001 AT 4.500%	INTEREST	3,375.00	
	NEW YORK STATE DORM AUTH REV DUE 05/15/2008 AT 5.500%	INTEREST	2,750.00	
	NEW YORK ST DORM AUTH REVS DUE 07/01/2006 AT 4.900%	INTEREST	1,225.00	
	NEW YORK ST DORM AUTH REVS N Y DUE 07/01/2004 AT 4.500%	INTEREST	2,250.00	
	NEW YORK ST ENVIRONMENTAL FACS DUE 06/15/2013 AT 4.550%	INTEREST	1,547.00	
	NEW YORK STATE LOCAL GOVT DUE 04/01/2006 AT 6.000%	INTEREST	3,000.00	
	NEW YORK STATE LOCAL GOVT DUE 04/01/2003 AT 5.100%	INTEREST	1,275.00	
	NEW YORK ST LOC GOVT ASSISTNCE DUE 04/01/2005 AT 5.100%	INTEREST	2,550.00	
	NEW YORK ST MED CARE F/F AGY DUE 02/15/2004 AT 4.900%	INTEREST	1,470.00	
	NEW YORK ST TWY AUTH SVC DUE 04/01/2013 AT 5.375%	INTEREST	2,687.50	
	NEW YORK ST TWY AUTH SVC DUE 04/01/2015 AT 5.750%	INTEREST	2,875.00	
	PUERTO RICO ELEC PWR AUTH PWR DUE 07/01/2007 AT 5.200%	INTEREST	1,560.00	

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BEAR, STEARNS SECURITIES CORP.
ONE METROTECH CENTER NORTH
BROOKLYN NEW YORK 11201-3859

Telephone Number: (212) 272-0495

2001 DETAILED INCOME STATEMENT
Page 4

RECIPIENT'S Name, Street Address, City, State, and Zip Code
NITA LOWEY
105 BEVERLY ROAD
RYE NY 10580-1902

Original 12/31/01 ☐ 2nd B Notice

PAYER'S FED ID NUMBER	ACCOUNT NUMBER	ACCOUNT EXECUTIVE	RECIPIENT'S FED ID NUMBER
13-3604093	042-44287	MR3	017-30-2729

TE	DESCRIPTION	DISTRIBUTION	AMOUNT	COMMENT
	WESTCHESTER CO N Y DUE 12/01/2001 AT 7.100%	INTEREST	710.00	
	TOTAL NON REPORTABLE INCOME			
	INTEREST SUBJECT TO A.M.T.		0.00	
	OTHER NON REPORTABLE INCOME		53,793.32	

TE	DESCRIPTION	TRANSACTION	PRICE	CUSIP	AMOUNT	COMMENT
	INVESTMENT ACTIVITY DETAILS					
'12	NEW YORK N Y CITY MUN WTR FIN AUTH WTR & SER D DUE 06/15/2025 05.250% QUANTITY: 25,000	BOUGHT	101.626	64970KQJ9	25,409.00	
'05	NEW YORK N Y CITY TRANSITIONAL FIN AUTH FUTURE TAX SECD-SER C DUE 02/01/2011 04.375% QUANTITY: 20,000	BOUGHT	99.875	649716ZB6	19,975.00	
'21	NEW YORK ST ENVIRONMENTAL FACS CORP ST REVOLVING FDS SER C DUE 06/15/2013 04.550% QUANTITY: 80,000	BOUGHT	99.814	64985MTX4	79,851.20	

DESCRIPTION	DAYS HELD	QUANTITY	OID RATE / TYPE	OID AMOUNT
NON-TAXABLE ORIGINAL ISSUE DISCOUNT DETAILS				
YORK CITY G/O-SER G RFDG	01/01 - 01/31	50,000	.0067071 / DAILY	
02/01/2010 AT 5.750%	02/01 - 07/31	50,000	.0069145 / DAILY	
	08/01 - 12/31	50,000	.0071281 / DAILY	
			SECURITY TOTAL	127.50
TOTAL NON-TAXABLE OID				127.50

END OF 2001 DETAILED INCOME STATEMENT

THIS STATEMENT IS NOT A SUBSTITUTE FOR FORM 1099 AND IS PROVIDED FOR INFORMATIONAL PURPOSES ONLY

NG CLT# 027 PAGE0715840 BR/ACCT 042-44287 01/19 16:50 MOL 08000784

LEBENTHAL & CO INC
120 BROADWAY 12TH FLOOR
NEW YORK NY 10271-0005
TEL:(212)425-6116

2001

YOUR TAX INFORMATION STATEMENT

Account Number: 4ED-795825

Recipient's Identification Number: 122-24-7677

Recipient's Name and Address:

STEPHEN LOWEY AND
NITA M. LOWEY JTWROS
105 BEVERLY ROAD
RYE NY 10580-1902

Your Account Executive:

James A. Lebenthal
Lebenthal & Co., Inc
120 Broadway 12th FL.
New York NY 10271-1299
(212) 748-5555
Id: 243

Payer Information:

Donaldson, Lufkin & Jenrette
Securities Corporation

Federal Identification Number: 13-2741729

2797

Summary of Gross Proceeds and Regulated Futures Contracts

	Amount
Gross Proceeds (Less Commissions and Fees)	.00
Federal Income Tax Withheld - Gross Proceeds	**.00**
Regulated Futures Contracts:	
Profit or (Loss) Realized in 2001	.00
Unrealized Profit or (Loss) on Open Contracts - 12/31/00	.00
Unrealized Profit or (Loss) on Open Contracts - 12/31/01	.00
Aggregate Profit or (Loss)	.00
Federal Income Tax Withheld - Reg. Futures Contracts	**.00**

2001 1099-INT Interest Income OMB No. 1545-0112

Box		Amount
1	Interest Income Not Included in Box 3	.00
2	Early Withdrawal Penalty	.00
3	Interest on U.S. Savings Bonds & Treasury Obligations	.00
4	**Federal Income Tax Withheld**	**.00**
5	Investment expenses	.00
6	Foreign Tax Paid	.00
7	Foreign Country or U.S. Possession	n/a
	Total Reportable Interest is the Sum of boxes 1 and 3	.00

2001 1099-DIV Dividends and Distributions OMB No. 1545-0110

Box		Amount
1	Ordinary Dividends	463.21
2a	Total Capital Gain Distributions	.00
2b	28% Rate Gain	.00
2c	Qualified 5-Year Gain	.00
2d	Unrecaptured Section 1250 Gain	.00
2e	Section 1202 Gain	.00
3	Nontaxable Distributions	.00
4	**Federal Income Tax Withheld**	**.00**
5	Investment Expenses	.00
6	Foreign Tax Paid	.00
7	Foreign Country or U.S. Possession	n/a
8	Cash Liquidation Distributions	.00
9	Non-Cash Liquidation Distributions	.00

Summary of Original Issue Discount

	Amount
Original Issue Discount (Non-U.S. Treasury Obligations)	.00
Other Periodic Interest	.00
Federal Income Tax Withheld	**.00**
Original Issue Discount on U.S. Treasury Obligations	.00
Investment expenses	.00

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Account Number: 4ED-795825

Recipient's Identification Number: 122-24-7677

Recipient's Name and Address:

STEPHEN LOWEY AND
NITA M. LOWEY JTWROS

2001

YOUR TAX INFORMATION STATEMENT

Summary Of Transactions We Do Not Report To The IRS (See enclosure for additional information)

	Amount
Municipal Interest Income	
Income Paid - Subject to Alternative Minimum Tax	13,096.62
Income Paid - Not Subject to Alternative Minimum Tax	86,634.06
Total Municipal Income	**99,730.68**
Securities Purchased	
Net Cost of Securities Purchased	**67,200.00**
Accrued Interest Purchased	
Municipal Bonds - Not Subject to Alternative Minimum Tax	891.14
Total Accrued Interest Purchased	**891.14**

DIVIDENDS AND DISTRIBUTIONS (Details of Form 1099-DIV)

Description	*Date Paid*	*Ordinary Dividends (Box 1)*	*Total Capital Gain Distributions (Box 2a)*	*Nontaxable Distributions (Box 3)*	*Federal Income Tax Withheld (Box 4)*	*Investment Expenses (Box 5)*	*Foreign Tax Paid (Box 6)*
LEBENTHAL NEW YORK MUNICIPAL BOND FUND	01/12/2001	96.19					
	02/13/2001	83.61					
	03/13/2001	36.12					
	04/12/2001	28.27					
	05/14/2001	30.18					
	06/12/2001	29.81					
	07/12/2001	29.33					
	08/14/2001	31.68					
	09/18/2001	28.25					
	10/12/2001	29.81					
	11/13/2001	9.81					
	12/12/2001	14.33					
	01/02/2002	15.82					
		463.21					
Total		**463.21**	**.00**	**.00**	**.00**	**.00**	**.00**

2798

Account Number: 4ED-795825

Recipient's Identification Number: 122-24-7677

Recipient's Name and Address:

STEPHEN LOWEY AND
NITA M. LOWEY JTWROS

2001

YOUR TAX INFORMATION STATEMENT

2799

TRANSACTIONS WE DO NOT REPORT TO THE IRS

MUNICIPAL INTEREST INCOME

Description	CUSIP	Date Paid	Interest Income Subject to Alternative Minimum Tax	Interest Income Not Subject to Alternative Minimum Tax
LEBENTHAL NEW YORK MUNICIPAL BOND FUND	523216208	01/12/2001	44.94	1,246.85
		02/13/2001	45.41	1,259.77
		03/13/2001	47.49	1,317.34
		04/12/2001	44.34	1,229.96
		05/14/2001	46.20	1,281.72
		06/12/2001	46.78	1,297.69
		07/12/2001	45.56	1,263.93
		08/14/2001	48.77	1,352.56
		09/18/2001	44.15	1,224.64
		10/12/2001	45.92	1,273.67
		11/13/2001	49.21	1,364.98
		12/12/2001	41.76	1,158.44
		01/02/2002	46.09	1,278.75
			596.62	16,550.30
LONG ISLAND PWR AUTH N Y ELEC SYS REV GEN 4.800% 04/01/16 B/E DTD 10/15/98 CLB	542690JS2	04/02/2001		1,800.00
		10/01/2001		1,800.00
				3,600.00
MUNICIPAL ASSISTANCE CORP FOR CITY NEW YORK N Y SER J 5.125% 07/01/05 B/E DTD 04/15/97	626190V33	01/02/2001		640.63
		07/02/2001		640.63
				1,281.26
NASSAU COUNTY N.Y. SERIES N 6.125% 10/15/09 B/E DTD 10/29/92 PRF	6316544V9	04/16/2001		3,062.50
		10/15/2001		3,062.50
				6,125.00
NEW YORK CITY SER A 6.000% 08/01/06 B/E DTD 07/11/96	6496646D6	02/01/2001		3,000.00
		08/01/2001		3,000.00
				6,000.00
NEW YORK N Y SER J UT 5.250% 05/15/14 B/E DTD 06/15/99 CLB	649669Y44	05/15/2001		1,312.50
		11/15/2001		1,312.50

Account Number: 4ED-795825

Recipient's Identification Number: 122-24-7677

Recipient's Name and Address:

STEPHEN LOWEY AND
NITA M. LOWEY JTWROS

2001

YOUR TAX INFORMATION STATEMENT

TRANSACTIONS WE DO NOT REPORT TO THE IRS

MUNICIPAL INTEREST INCOME

(Continued)

Description	CUSIP	Date Paid	Interest Income Subject to Alternative Minimum Tax	Interest Income Not Subject to Alternative Minimum Tax
				2,625.00
NEW YORK STATE CROSSOVER REFUNDING 5.800% 11/15/03 B/E DTD 07/15/92 PRF	6497853A8	05/15/2001 11/15/2001		1,450.00 1,450.00 2,900.00
NEW YORK ST DORM AUTH REVS MOUNT SINAI HEALTH SER A 6.000% 07/01/13 B/E DTD 04/15/00 CLB	64983WT30	01/02/2001 07/02/2001		1,706.67 1,200.00 2,906.67
NEW YORK ST DORM AUTH REVS CITY UNIV-3RD GEN RES-SER 2 6.400% 07/01/07 B/E DTD 11/15/94 PRF	6498346G8	01/02/2001 07/02/2001		3,200.00 3,200.00 6,400.00
NEW YORK ST DORM AUTH REVS RFDG MONTEFIORE MED CTR 5.250% 02/01/15 B/E DTD 12/01/96 CLB	649836TZ6	02/01/2001 08/01/2001		918.75 918.75 1,837.50
NEW YORK ST ENVIRONMENTAL FACS CORP POLLUTN CTL REV ST WTR SER B LT 5.100% 12/15/08 B/E DTD 03/01/97 CLB	649850Q72	06/15/2001 12/17/2001		1,275.00 1,275.00 2,550.00
NEW YORK ST MED CARE FACS FIN AGY REV N Y DOWNTOWN HOSP SER A 6.500% 08/15/05 B/E DTD 03/01/95 PRF	64988KGG6	02/15/2001 08/15/2001		2,437.50 2,437.50 4,875.00
N Y ST MED CARE FACS FIN AGY REV MENTAL HLTH SVCS FACS-SER D 5.400% 02/15/08 B/E DTD 07/01/95 CLB	64988KUA3	02/15/2001 08/15/2001		6,750.00 6,750.00 13,500.00

2800

Account Number: 4ED-795825

Recipient's Identification Number: 122-24-7677

Recipient's Name and Address

STEPHEN LOWEY AND
NITA M. LOWEY JTWROS

2001

YOUR TAX INFORMATION STATEMENT

2801

TRANSACTIONS WE DO NOT REPORT TO THE IRS

MUNICIPAL INTEREST INCOME

(Continued)

Description	*CUSIP*	*Date Paid*	*Interest Income Subject to Alternative Minimum Tax*	*Interest Income Not Subject to Alternative Minimum Tax*
NEW YORK ST MTG AGY REV HOMEOWNER MTG SER 98 5.050% 10/01/17 B/E DTD 06/01/01 CLB	64988PLV6	10/01/2001		420.83
NEW YORK ST URBAN DEV CORP REV CORRECTIONAL CAPITAL FACILITIES SERIES 5 6.000% 01/01/09 B/E DTD 08/01/95 PRF	650033W90	01/02/2001 07/02/2001		4,500.00 4,500.00 --- 9,000.00
TRIBOROUGH BRDG & TUNL AUTH N Y SPL OBLIG RFDG SER A 5.250% 01/01/13 B/E DTD 07/15/98 CLB	896033MK0	01/02/2001 07/02/2001		656.25 656.25 --- 1,312.50
WESTCHESTER CNTY N Y LT 4.700% 11/15/04 B/E DTD 10/31/96	957365Y29	05/15/2001 11/15/2001		1,175.00 1,175.00 --- 2,350.00
WESTCHESTER CNTY N Y HEALTH CARE CORP REV SR LIEN SER A 6.000% 11/01/30 B/E DTD 11/01/00 CLB	957366AB3	05/01/2001 11/01/2001		1,200.00 1,200.00 --- 2,400.00
WESTCHESTER CNTY N Y INDL DEV AGY RESOURCE RECOVERY REV SUBJ TO AMT 5.000% 07/01/05 B/E DTD 12/26/96	957375BJ6	01/02/2001 07/02/2001	6,250.00 6,250.00 --- 12,500.00	
Total			**13,096.62**	**86,634.06**

Account Number: 4ED-795825

Recipient's Identification Number: 122-24-7677

Recipient's Name and Address:

STEPHEN LOWEY AND
NITA M. LOWEY JTWROS

2001
YOUR TAX INFORMATION
STATEMENT

TRANSACTIONS WE DO NOT REPORT TO THE IRS

SECURITIES PURCHASED

Description	CUSIP	Trade/Process Date	Quantity	Net Cost	Accrued Interest Purchased Amount	Accrued Interest Purchased Security Type
NEW YORK ST MTG AGY REV HOMEOWNER MTG SER 98 5.050% 10/01/17 B/E DTD 06/01/01 CLB	64988PLV6	07/11/2001	25,000	25,000.00	157.81	Municipal-Non AMT
WESTCHESTER CNTY N Y HEALTH CARE CORP REV SR LIEN SER A 6.000% 11/01/30 B/E DTD 11/01/00 CLB	957366AB3	02/15/2001	40,000	42,200.00	733.33	Municipal-Non AMT
Total				**67,200.00**	**891.14**	

2802

1010131 0270 001162753
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement January 01, 2001 through January 31, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 9555

RR Number 100

Copies of this statement have been sent to:

MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	424,463.00	655,541.25
Money Markets	933,460.40	776,359.67
Equities		
Equities	-740.14	-55,251.20
Options		
Equities	.00	16,250.00
Fixed Income		
Corporate Bonds	-45,537.00	11,298.50
Total Assets	1,311,646.26	1,404,198.42

Portfolio Allocation

Portfolio Allocation on January 31, 2001

Cash	31.3%
Money Markets	68.7%

Your Portfolio contains unpriced securities. Unpriced securities are not reflected in the Account Valuation or Asset Allocation sections.

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	665,541.25
Total Securities Purchased	471,709.30	.00
Total Securities Sold	.00	173,157.31
Income Received	.00	112,254.37
Total Checks Paid	40,000.00	.00
Other	4,780.63	.00
Ending Balance	.00	424,463.00

Income Summary

	This Period	Year-To-Date
Taxable Dividends	4,308.24	4,308.24
Corporate Interest	107,946.13	107,946.13
Total Taxable Income	**112,254.37**	**112,254.37**
Total Income	**112,254.37**	**112,254.37**
Other Totals		
Sales Proceeds	11,199.62	11,199.62

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
		*** Opening Balance ***		.00	CR
12-28-00	INTEREST	TULTEX CORP SR NT 9.625% 04/15/2007		103,180.50	CR
01-02-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-31,947.5	31,947.50	CR
01-02-01	JOURNALED	WIRE FEE		15.00	DR
01-02-01	JOURNALED	JNL VS A/C TYPES		8,067.50	CR
01-02-01	WIRE TRANS TO BANK	WD02005304		40,000.00	DR
01-03-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-6,275	6,275.00	CR
01-03-01	JOURNALED	JNL VS A/C TYPES		6,275.00	DR
01-04-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	203,123.2	203,123.20	DR
01-04-01	JOURNALED	JNL VS A/C TYPES		99,942.70	CR

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
01-05-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-64,701.45	64,701.45	CR
01-05-01	JOURNALED	JNL VS A/C TYPES		64,701.45	DR
01-08-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-9,403.75	9,403.75	CR
01-08-01	JOURNALED	JNL VS A/C TYPES		9,403.75	DR
01-09-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,063.75	2,063.75	CR
01-09-01	JOURNALED	JNL VS A/C TYPES		2,063.75	DR
01-10-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-16,195.25	16,195.25	CR
01-10-01	JOURNALED	JNL VS A/C TYPES		16,195.25	DR
01-11-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	7,617.75	7,617.75	DR
01-11-01	JOURNALED	JNL VS A/C TYPES		7,617.75	CR
01-12-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	91,999.67	91,999.67	DR
01-12-01	JOURNALED	JNL VS A/C TYPES		91,999.67	CR
01-16-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-6,043.86	6,043.86	CR
01-16-01	JOURNALED	JNL VS A/C TYPES		10,869.75	DR
01-16-01	INTEREST	SOUTHERN CAL EDISON NOTES 7.625% 01/15/2010 BOND INTEREST		4,765.63	CR

2805

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000080

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
01-17-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-5,371.63	5,371.63	CR
01-17-01	JOURNALED	JNL VS A/C TYPES		5,311.37	DR
01-18-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-10,023.5	10,023.50	CR
01-18-01	JOURNALED	JNL VS A/C TYPES		10,023.50	DR
01-19-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-327.5	327.50	CR
01-19-01	JOURNALED	JNL VS A/C TYPES		327.50	DR
01-22-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,641.12	1,641.12	DR
01-22-01	JOURNALED	JNL VS A/C TYPES		1,641.12	CR
01-23-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	484.25	484.25	DR
01-23-01	JOURNALED	JNL VS A/C TYPES		484.25	CR
01-24-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	73.75	73.75	DR
01-24-01	JOURNALED	JNL VS A/C TYPES		73.75	CR
01-25-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,920.5	1,920.50	CR
01-25-01	JOURNALED	JNL VS A/C TYPES		1,920.50	DR
01-26-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-529.25	529.25	CR

2806

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
01-26-01	JOURNALED	JNL VS A/C TYPES		529.25	DR
01-29-01	YOU BOUGHT	PRIME FUND CAPITAL RESERVES CLASS @ 1	6,177.5	6,177.50	DR
01-29-01	JOURNALED	JNL VS A/C TYPES		6,177.50	CR
01-30-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-7,154.75	7,154.75	CR
01-30-01	JOURNALED	JNL VS A/C TYPES		7,154.75	DR
01-31-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	3,693	3,693.00	DR
01-31-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	4,247.98	4,247.98	DR
01-31-01	JOURNALED	JNL VS A/C TYPES		3,693.00	CR
01-31-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		4,247.98	CR
		***** Closing Balance *****		**.00**	**CR**

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		***** Opening Balance *****		**267,843.75**	**CR**
01-02-01	JOURNALED	JNL VS A/C TYPES		8,067.50	DR
01-03-01	JOURNALED	JNL VS A/C TYPES		6,275.00	CR
01-04-01	JOURNALED	JNL VS A/C TYPES		99,942.70	DR

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
01-05-01	JOURNALED	JNL VS A/C TYPES		64,701.45	CR
01-05-01	SHORT VS MARGIN	MARK TO MARKET		1,566.25	CR
01-08-01	JOURNALED	JNL VS A/C TYPES		9,403.75	CR
01-09-01	JOURNALED	JNL VS A/C TYPES		2,063.75	CR
01-10-01	JOURNALED	JNL VS A/C TYPES		16,195.25	CR
01-11-01	JOURNALED	JNL VS A/C TYPES		7,617.75	DR
01-12-01	JOURNALED	JNL VS A/C TYPES		91,999.67	DR
01-12-01	SHORT VS MARGIN	MARK TO MARKET		17,937.00	DR
01-15-01	DIVIDEND RECEIVED	MOTOROLA INC NFS IS A SPECIALIST		60.26	CR
01-16-01	JOURNALED	JNL VS A/C TYPES		10,869.75	CR
01-17-01	JOURNALED	JNL VS A/C TYPES		5,311.37	CR
01-18-01	JOURNALED	JNL VS A/C TYPES		10,023.50	CR
01-19-01	JOURNALED	JNL VS A/C TYPES		327.50	CR
01-19-01	SHORT VS MARGIN	MARK TO MARKET		9,957.46	DR
01-22-01	YOU SOLD	PUT GREAT ATLANTIC & PAC JAN 15 CLOSING TRANSACTION @ 5 5/8	-20	11,109.62	CR
01-22-01	JOURNALED	JNL VS A/C TYPES		1,641.12	DR
01-23-01	JOURNALED	JNL VS A/C TYPES		484.25	DR
01-24-01	JOURNALED	JNL VS A/C TYPES		73.75	DR

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
01-25-01	JOURNALED	JNL VS A/C TYPES		1,920.50	CR
01-26-01	JOURNALED	JNL VS A/C TYPES		529.25	CR
01-26-01	SHORT VS MARGIN	MARK TO MARKET		9,805.00	DR
01-29-01	JOURNALED	JNL VS A/C TYPES		6,177.50	DR
01-30-01	JOURNALED	JNL VS A/C TYPES		7,154.75	CR
01-31-01	JOURNALED	JNL VS A/C TYPES		3,693.00	DR
		*** Closing Balance ***		158,049.00	CR

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
		*** Opening Balance ***		387,697.50	CR
01-04-01	YOU BOUGHT	DANA CORP SHORT COVER @ 15 1/2	5,000	77,520.00	DR
01-05-01	SHORT VS MARGIN	MARK TO MARKET		1,566.25	DR
01-12-01	SHORT VS MARGIN	MARK TO MARKET		17,937.00	CR
01-15-01	INTEREST CHARGED	SOUTHERN CAL EDISON NOTES 7.625% 01/15/2010		4,765.63	DR
01-17-01	YOU BOUGHT	SOUTHERN CAL EDISON NOTES 7.625% 01/15/2010 SHORT COVER ACTED AS PRINCIPAL @ 60.0625	125,000	75,131.08	DR
01-19-01	SHORT VS MARGIN	MARK TO MARKET		9,957.46	CR

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
01-26-01	SHORT VS MARGIN	MARK TO MARKET		9,805.00	CR
		***** Closing Balance *****		266,414.00	CR

Portfolio Detail

Cash/Cash Equivalents (100.0 %)

Account Type	Description	Symbol Cusip	Quantity	Price on 01/31/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 5.63%	FPRXX 650914203	933,460.4	1.00	933,460.40
			**** Cash Total ****		**1,357,923.40**

Equities (.0 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 01/31/01	Market Value
CASH	ABRAXAS PETE CORP	ABP 003830106 Reinv	10,500	4.93	51,765.00
MARGIN	ABRAXAS PETE CORP	ABP 003830106 Reinv	900	4.93	4,437.00
MARGIN	ABRAXAS PETE CORP RTS EXP 12/21/2000	AXASZ 003831112	5,962	.188	1,120.86
MARGIN	CROWN CASTLE INTL CORP NFS LLC IS A MARKET MAKER IN THIS SECURITY	TWRS 228227104 Reinv	1,500	27.938	41,907.00

2810

Account Statement January 01, 2001 through January 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Equities (.0 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 01/31/01	Market Value
SHORT	GREAT ATLANTIC & PAC TEA INC	GAP 390064103 Reinv	-10,000	8.99	-89,900.00
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.007	-70.00
MARGIN	LOEHMANNS HLDGS INC	540411501	740	Unavailable	.00
			** Equities Total **		-740.14

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 01/31/01	Estimated Market Value
	Corporate Bonds				
SHORT	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003	382550AF8	-100,000	100.537	-100,537.00
MARGIN	LOEHMANNS INC. 11.87 5% SR NTS DUE 5/15/2 003 (ESCROW)	5404179A2	500,000	Unavailable	.00
			Estimated Annual Income 59,375.00		
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100	Unavailable	.00
			Estimated Annual Income 22,451.00		
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC6	800,000	16.00	128,000.00
			Estimated Annual Income 77,000.00		
			Estimated Yield 60.156%		
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	73.00	-73,000.00

2811

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 01/31/01	Estimated Market Value
			** Fixed Income Total **		-45,537.00

*** For an explanation of fixed income pricing, please see the back of the statement ***

**** Total Assets **** 1,311,646.26

END OF STATEMENT

2812

1010228 0270 001143648
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement February 01, 2001 through February 28, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 9555

RR Number 100

Copies of this statement have been sent to:

MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	288,679.00	424,463.00
Money Markets	964,653.44	933,460.40
Equities		
Equities	87,594.14	-740.14
Fixed Income		
Corporate Bonds	-45,712.00	-45,537.00
Total Assets	**1,295,214.58**	**1,311,646.26**

Portfolio Allocation

Portfolio Allocation on February 28, 2001

Cash/ Cash Equivalents	**93.4%**
Equities	**6.6%**

Your Portfolio contains unpriced securities. Unpriced securities are not reflected in the Account Valuation or Asset Allocation sections.

2813

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000080

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	424,483.00
Total Securities Purchased	174,557.57	.00
Total Securities Sold	.00	44,254.41
Income Received	1,168.34	.00
Other	4,312.50	.00
Ending Balance	.00	288,679.00

Income Summary

	This Period	Year-To-Date
Taxable Dividends	3,627.57	7,935.81
Corporate Interest	-4,795.91	103,150.22
Total Taxable Income	**-1,168.34**	**111,086.03**
Total Income	**-1,168.34**	**111,086.03**
Other Totals		
Sales Proceeds	3,409.88	14,609.50

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
		*** Opening Balance ***		.00	CR
02-01-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-11,759	11,759.00	CR
02-01-01	JOURNALED	JNL VS A/C TYPES		11,759.00	DR
02-02-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,672.25	2,672.25	CR
02-02-01	JOURNALED	JNL VS A/C TYPES		2,672.25	DR
02-05-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-4,243.25	4,243.25	CR
02-05-01	JOURNALED	JNL VS A/C TYPES		4,243.25	DR
02-06-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	445.5	445.50	DR
02-06-01	JOURNALED	JNL VS A/C TYPES		445.50	CR

2814

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000080

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
02-07-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,156	1,156.00	DR
02-07-01	JOURNALED	JNL VS A/C TYPES		1,156.00	CR
02-08-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,409	2,409.00	CR
02-08-01	JOURNALED	JNL VS A/C TYPES		2,409.00	DR
02-09-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-998.25	998.25	CR
02-09-01	JOURNALED	JNL VS A/C TYPES		998.25	DR
02-12-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-5,864.25	5,864.25	CR
02-12-01	JOURNALED	JNL VS A/C TYPES		5,864.25	DR
02-13-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,251	1,251.00	DR
02-13-01	JOURNALED	JNL VS A/C TYPES		1,251.00	CR
02-14-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	4,402.5	4,402.50	DR
02-14-01	JOURNALED	JNL VS A/C TYPES		4,402.50	CR
02-15-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-78.75	78.75	CR
02-15-01	JOURNALED	JNL VS A/C TYPES		78.75	DR
02-16-01	YOU SOLD	ABRAXAS PETE CORP @ 4.90	-700	3,409.88	CR

2815

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000080

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
02-16-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-7,424.03	7,424.03	CR
02-16-01	JOURNALED	JNL VS A/C TYPES		6,038.00	DR
02-16-01	CORP INT ADJUSTMENT	SOUTHERN CAL EDISON NOTES 7.625% 01/15/2010 BOND INTEREST		4,795.91	DR
02-20-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,106.25	1,106.25	DR
02-20-01	JOURNALED	JNL VS A/C TYPES		1,106.25	CR
02-21-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-192.5	192.50	CR
02-21-01	JOURNALED	JNL VS A/C TYPES		192.50	DR
02-22-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	3,075.25	3,075.25	DR
02-22-01	JOURNALED	JNL VS A/C TYPES		3,075.25	CR
02-23-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,959.75	1,959.75	DR
02-23-01	JOURNALED	JNL VS A/C TYPES		1,959.75	CR
02-26-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	55,013.75	55,013.75	DR
02-26-01	JOURNALED	JNL VS A/C TYPES		55,013.75	CR
02-27-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-4,808.75	4,808.75	CR
02-27-01	JOURNALED	JNL VS A/C TYPES		4,808.75	DR

2816

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
02-28-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	3,627.57	3,627.57	DR
02-28-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-396.5	396.50	CR
02-28-01	JOURNALED	JNL VS A/C TYPES		396.50	DR
02-28-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		3,627.57	CR
		***** Closing Balance *****		**.00**	**CR**

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		***** Opening Balance *****		**158,049.00**	**CR**
02-01-01	JOURNALED	JNL VS A/C TYPES		11,759.00	CR
02-02-01	JOURNALED	JNL VS A/C TYPES		2,672.25	CR
02-02-01	SHORT VS MARGIN	MARK TO MARKET		10,208.00	DR
02-05-01	JOURNALED	JNL VS A/C TYPES		4,243.25	CR
02-06-01	JOURNALED	JNL VS A/C TYPES		445.50	DR
02-07-01	JOURNALED	JNL VS A/C TYPES		1,156.00	DR
02-08-01	JOURNALED	JNL VS A/C TYPES		2,409.00	CR
02-09-01	JOURNALED	JNL VS A/C TYPES		998.25	CR
02-09-01	SHORT VS MARGIN	MARK TO MARKET		7,956.00	DR

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
02-12-01	JOURNALED	JNL VS A/C TYPES		5,664.25	CR
02-13-01	JOURNALED	JNL VS A/C TYPES		1,251.00	DR
02-14-01	JOURNALED	JNL VS A/C TYPES		4,402.50	DR
02-15-01	JOURNALED	JNL VS A/C TYPES		78.75	CR
02-16-01	JOURNALED	JNL VS A/C TYPES		6,038.00	CR
02-16-01	SHORT VS MARGIN	MARK TO MARKET		2,501.50	DR
02-20-01	JOURNALED	JNL VS A/C TYPES		1,106.25	DR
02-21-01	JOURNALED	JNL VS A/C TYPES		192.50	CR
02-22-01	JOURNALED	JNL VS A/C TYPES		3,075.25	DR
02-23-01	JOURNALED	JNL VS A/C TYPES		1,959.75	DR
02-23-01	SHORT VS MARGIN	MARK TO MARKET		5,980.00	CR
02-26-01	JOURNALED	JNL VS A/C TYPES		55,013.75	DR
02-27-01	JOURNALED	JNL VS A/C TYPES		4,806.75	CR
02-28-01	JOURNALED	JNL VS A/C TYPES		398.50	CR
		***** Closing Balance *****		**114,402.00**	**CR**

2818

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		***** Opening Balance *****		**266,414.00**	**CR**
02-02-01	SHORT VS MARGIN	MARK TO MARKET		10,208.00	CR
02-09-01	SHORT VS MARGIN	MARK TO MARKET		7,966.00	CR
02-15-01	INTEREST CHARGED	METALS USA INC SR NT 8.625% 02/15/2008		4,312.50	DR
02-16-01	SHORT VS MARGIN	MARK TO MARKET		2,501.50	CR
02-23-01	SHORT VS MARGIN	MARK TO MARKET		5,980.00	DR
02-28-01	YOU BOUGHT	GREAT ATLANTIC & PAC TEA INC SHORT COVER @ 10.25	10,000	102,520.00	DR
		***** Closing Balance *****		**174,277.00**	**CR**

Portfolio Detail

Cash/Cash Equivalents (93.4 %)

Account Type	Description	Symbol Cusip	Quantity	Price on 02/28/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 5.00%	FPRXX 650914203	964,653.44	1.00	964,653.44
			**** Cash Total ****		**1,253,332.44**

2819

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Equities (6.6 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 02/28/01	Market Value
CASH	ABRAXAS PETE CORP	ABP 003830106 Reinv	9,800	4.55	44,590.00
MARGIN	ABRAXAS PETE CORP	ABP 003830106 Reinv	900	4.55	4,095.00
MARGIN	ABRAXAS PETE CORP RTS EXP 12/21/2000	AXASZ 003831112	5,962	.22	1,311.64
MARGIN	CROWN CASTLE INTL CORP NFS LLC IS A MARKET MAKER IN THIS SECURITY	TWRS 228227104 Reinv	1,500	25.125	37,687.50
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.009	-90.00
MARGIN	LOEHMANNS HLDGS INC	540411501	740	Unavailable	.00
			** Equities Total **		87,594.14

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 02/28/01	Estimated Market Value
	Corporate Bonds				
SHORT	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003	382550AF8	-100,000	100.712	-100,712.00
MARGIN	LOEHMANNS INC. 11.87 5% SR NTS DUE 5/15/2 003 (ESCROW)	5404179A2	500,000	Unavailable	.00
			Estimated Annual Income 59,375.00		

2820

Account Statement February 01, 2001 through February 28, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 02/28/01	Estimated Market Value
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100 Estimated Annual Income 22,451.00	Unavailable	.00
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8	800,000 Estimated Annual Income 77,000.00 Estimated Yield 60.156%	16.00	128,000.00
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	73.00	-73,000.00
			** Fixed Income Total **		-45,712.00

*** For an explanation of fixed income pricing, please see the back of the statement ***

**** Total Assets **** 1,295,214.58

END OF STATEMENT

1010330 0270 001078593
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement March 01, 2001 through March 31, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 9555

RR Number 100

Copies of this statement have been sent to:

MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	292,426.00	288,679.00
Money Markets	1,048,870.16	964,653.44
Equities		
Equities	26,285.16	87,594.14
Fixed Income		
Corporate Bonds	-43,900.00	-45,712.00
Total Assets	**1,323,681.32**	**1,295,214.58**

Portfolio Allocation

Portfolio Allocation on March 31, 2001

Cash/ Cash Equivalents	**98.1%**
Equities	**1.9%**

Your Portfolio contains unpriced securities. Unpriced securities are not reflected in the Account Valuation or Asset Allocation sections.

2822

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	288,679.00
Total Securities Purchased	98,095.47	.00
Total Securities Sold	.00	65,553.93
Income Received	.00	38,351.04
Other	4,062.50	.00
Ending Balance	.00	292,426.00

Income Summary

	This Period	Year-To-Date
Taxable Dividends	3,993.10	11,928.91
Corporate Interest	.00	103,150.22
Total Taxable Income	**3,993.10**	**115,079.13**
Return of Principal	34,357.94	34,357.94
Total Non-Taxable Income	**34,357.94**	**34,357.94**
Total Income	**38,351.04**	**149,437.07**
Other Totals		
Sales Proceeds	53,675.18	68,284.68

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
		***** Opening Balance *****		.00	CR
03-01-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-35.25	35.25	CR
03-01-01	JOURNALED	JNL VS A/C TYPES		35.25	DR
03-02-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-192.75	192.75	CR
03-02-01	JOURNALED	JNL VS A/C TYPES		192.75	DR
03-05-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	2,088.5	2,088.50	DR
03-05-01	JOURNALED	JNL VS A/C TYPES		2,088.50	CR
03-06-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	268.5	268.50	DR

2823

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
03-06-01	JOURNALED	JNL VS A/C TYPES		268.50	CR
03-07-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	2,007.75	2,007.75	DR
03-07-01	JOURNALED	JNL VS A/C TYPES		2,007.75	CR
03-08-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-453	453.00	CR
03-08-01	JOURNALED	JNL VS A/C TYPES		453.00	DR
03-09-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-825	825.00	CR
03-09-01	JOURNALED	JNL VS A/C TYPES		825.00	DR
03-12-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	2,540.34	2,540.34	DR
03-12-01	JOURNALED	JNL VS A/C TYPES		2,540.34	CR
03-13-01	YOU SOLD	ABRAXAS PETE CORP @ 5.09	-2,500	12,704.57	CR
03-13-01	YOU SOLD	ABRAXAS PETE CORP @ 4.94	-4,800	23,671.20	CR
03-13-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	34,302.77	34,302.77	DR
03-13-01	JOURNALED	JNL VS A/C TYPES		2,073.00	DR
03-14-01	YOU SOLD	ABRAXAS PETE CORP @ 5.10	-2,500	12,729.57	CR
03-14-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	11,391.57	11,391.57	DR

2824

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
03-14-01	PRINCIPAL PAYMENT	TULTEX CORP SR NT 9.625% 04/15/2007		34,357.94	CR
03-14-01	JOURNALED	JNL VS A/C TYPES		1,338.00	DR
03-15-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-760.25	760.25	CR
03-15-01	JOURNALED	JNL VS A/C TYPES		760.25	DR
03-16-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-4,235	4,235.00	CR
03-16-01	JOURNALED	JNL VS A/C TYPES		4,235.00	DR
03-19-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	36,827.69	36,827.69	DR
03-19-01	JOURNALED	JNL VS A/C TYPES		2,469.75	CR
03-20-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,087.5	1,087.50	CR
03-20-01	JOURNALED	JNL VS A/C TYPES		1,087.50	DR
03-21-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	220.5	220.50	DR
03-21-01	JOURNALED	JNL VS A/C TYPES		220.50	CR
03-22-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,234.25	2,234.25	CR
03-22-01	JOURNALED	JNL VS A/C TYPES		2,234.25	DR
03-23-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-444.75	444.75	CR

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
03-23-01	JOURNALED	JNL VS A/C TYPES		444.75	DR
03-26-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,233	1,233.00	CR
03-26-01	JOURNALED	JNL VS A/C TYPES		1,233.00	DR
03-27-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	194.25	194.25	DR
03-27-01	JOURNALED	JNL VS A/C TYPES		194.25	CR
03-28-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,737.75	1,737.75	DR
03-28-01	JOURNALED	JNL VS A/C TYPES		1,737.75	CR
03-29-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	522.75	522.75	DR
03-29-01	JOURNALED	JNL VS A/C TYPES		522.75	CR
03-30-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	3,993.1	3,993.10	DR
03-30-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-378	378.00	CR
03-30-01	JOURNALED	JNL VS A/C TYPES		378.00	DR
03-30-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		3,993.10	CR
		***** Closing Balance *****		**.00**	**CR**

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		*** Opening Balance ***		114,402.00	CR
03-01-01	JOURNALED	JNL VS A/C TYPES		35.25	CR
03-02-01	JOURNALED	JNL VS A/C TYPES		192.75	CR
03-02-01	SHORT VS MARGIN	MARK TO MARKET		470.00	CR
03-05-01	JOURNALED	JNL VS A/C TYPES		2,089.50	DR
03-06-01	JOURNALED	JNL VS A/C TYPES		268.50	DR
03-07-01	JOURNALED	JNL VS A/C TYPES		2,007.75	DR
03-08-01	JOURNALED	JNL VS A/C TYPES		453.00	CR
03-09-01	JOURNALED	JNL VS A/C TYPES		825.00	CR
03-09-01	SHORT VS MARGIN	MARK TO MARKET		2,217.00	CR
03-12-01	JOURNALED	JNL VS A/C TYPES		2,540.34	DR
03-13-01	JOURNALED	JNL VS A/C TYPES		2,073.00	CR
03-14-01	YOU SOLD	ABRAXAS PETE CORP @ 5.10	-900	4,589.84	CR
03-14-01	JOURNALED	JNL VS A/C TYPES		1,338.00	CR
03-15-01	JOURNALED	JNL VS A/C TYPES		760.25	CR
03-16-01	JOURNALED	JNL VS A/C TYPES		4,235.00	CR
03-16-01	SHORT VS MARGIN	MARK TO MARKET		4,811.50	DR
03-19-01	JOURNALED	JNL VS A/C TYPES		2,469.75	DR

2827

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
03-20-01	JOURNALED	JNL VS A/C TYPES		1,087.50	CR
03-21-01	JOURNALED	JNL VS A/C TYPES		220.50	DR
03-22-01	JOURNALED	JNL VS A/C TYPES		2,234.25	CR
03-23-01	JOURNALED	JNL VS A/C TYPES		444.75	CR
03-23-01	SHORT VS MARGIN	MARK TO MARKET		401.00	CR
03-26-01	JOURNALED	JNL VS A/C TYPES		1,233.00	CR
03-27-01	JOURNALED	JNL VS A/C TYPES		194.25	DR
03-28-01	JOURNALED	JNL VS A/C TYPES		1,737.76	DR
03-29-01	JOURNALED	JNL VS A/C TYPES		522.75	DR
03-30-01	JOURNALED	JNL VS A/C TYPES		378.00	CR
		***** Closing Balance *****		**120,488.00**	**CR**

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		***** Opening Balance *****		**174,277.00**	**CR**
03-02-01	SHORT VS MARGIN	MARK TO MARKET		470.00	DR
03-09-01	SHORT VS MARGIN	MARK TO MARKET		2,217.00	DR
03-15-01	INTEREST CHARGED	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003		4,062.50	DR
03-16-01	SHORT VS MARGIN	MARK TO MARKET		4,811.50	CR

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
03-23-01	SHORT VS MARGIN	MARK TO MARKET		401.00	DR
		*** Closing Balance ***		171,938.00	CR

Portfolio Detail

Cash/Cash Equivalents (98.1 %)

Account Type	Description	Symbol Cusip	Quantity	Price on 03/31/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 4.47%	FPRXX 650914203	1,048,870.16	1.00	1,048,870.16
			** Cash Total **		1,341,296.16

Equities (1.9 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 03/31/01	Market Value
MARGIN	ABRAXAS PETE CORP RTS EXP 12/21/2000	AXASZ 003831112	5,962	.18	1,073.16
MARGIN	CROWN CASTLE INTL CORP NFS LLC IS A MARKET MAKER IN THIS SECURITY	TWRS 228227104 Reinv	1,500	14.813	22,219.50
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.006	-60.00

2829

Account Statement March 01, 2001 through March 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Equities (1.9 %)

Account Type	Description	Symbol Cusip Div Date	Quantity	Price on 03/31/01	Market Value
MARGIN	LOEHMANNS HLDGS INC	LHMS 540411501	740	4.125	3,052.50
			** Equities Total **		26,285.16

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 03/31/01	Estimated Market Value
	Corporate Bonds				
SHORT	GOODYEAR TIRE & RUE NTS 8.125% 03/15/2003	382550AF8	-100,000	100.90	-100,900.00
MARGIN	LOEHMANNS INC. 11.87 5% SR NTS DUE 5/15/2 003 (ESCROW)	5404179A2	500,000 Estimated Annual Income 59,375.00	Unavailable	.00
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100 Estimated Annual Income 22,451.00	Unavailable	.00
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8	800,000 Estimated Annual Income 77,000.00 Estimated Yield 60.156%	16.00	128,000.00
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	71.00	-71,000.00
			** Fixed Income Total **		-43,900.00

*** For an explanation of fixed income pricing, please see the back of the statement ***

**** Total Assets **** 1,323,681.32

1010430 0270 001149488
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement April 01, 2001 through April 30, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
510 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 9555

RR Number 100

Copies of this statement have been sent to:

MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	311,837.50	292,426.00
Money Markets	1,068,137.86	1,048,670.16
Equities		
Equities	4,175.50	26,285.16
Fixed Income		
Corporate Bonds	-48,118.00	-43,900.00
Total Assets	**1,336,032.83**	**1,323,681.32**

Portfolio Allocation

Portfolio Allocation on April 30, 2001

Cash/ Cash Equivalents	**99.7%**
Equities	**0.3%**

Your Portfolio contains unpriced securities. Unpriced securities are not reflected in the Account Valuation or Asset Allocation sections.

2831

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	292,426.00
Total Securities Purchased	31,221.67	.00
Total Securities Sold	.00	46,882.83
Income Received	.00	3,750.34
Ending Balance	.00	311,837.50

Realized Gain/Loss Summary - As of Trade Date

	This Period	Year-To-Date
Short-Term Gain	.00	80,849.65
Short-Term Loss	.00	.00
Short-Term Disallowed Loss	.00	.00
Net Short	**.00**	**80,849.65**
Long-Term Gain	5,678.83	39,133.27
Long-Term Loss	.00	.00
Long-Term Disallowed Loss	.00	.00
Net Long	**5,678.83**	**39,133.27**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Income Summary

	This Period	Year-To-Date
Taxable Dividends	3,750.34	15,679.25
Corporate Interest	.00	103,150.22
Total Taxable Income	**3,750.34**	**118,829.47**
Return of Principal	.00	34,357.94
Total Non-Taxable Income	**.00**	**34,357.94**
Total Income	**3,750.34**	**153,187.41**
Other Totals		
Sales Proceeds	34,928.83	103,213.51

Account Activity

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		*** Opening Balance ***		.00	CR
04-02-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-674.28	674.25	CR

2832

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
04-02-01	JOURNALED	JNL VS A/C TYPES		674.25	DR
04-03-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-589.5	589.50	CR
04-03-01	JOURNALED	JNL VS A/C TYPES		674.25	DR
04-04-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	54.75	54.75	DR
04-04-01	JOURNALED	JNL VS A/C TYPES		139.50	CR
04-05-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	127.25	127.25	DR
04-05-01	JOURNALED	JNL VS A/C TYPES		127.25	CR
04-06-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,375.5	1,375.50	DR
04-06-01	JOURNALED	JNL VS A/C TYPES		1,375.50	CR
04-09-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-638.25	638.25	CR
04-09-01	JOURNALED	JNL VS A/C TYPES		638.25	DR
04-10-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	792	792.00	DR
04-10-01	JOURNALED	JNL VS A/C TYPES		792.00	CR
04-11-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	2,652	2,652.00	DR
04-11-01	JOURNALED	JNL VS A/C TYPES		2,652.00	CR

2833

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
04-12-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,003.5	1,003.50	DR
04-12-01	JOURNALED	JNL VS A/C TYPES		1,003.50	CR
04-16-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	717	717.00	DR
04-16-01	JOURNALED	JNL VS A/C TYPES		717.00	CR
04-17-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-933	933.00	CR
04-17-01	JOURNALED	JNL VS A/C TYPES		933.00	DR
04-18-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	675	675.00	DR
04-18-01	JOURNALED	JNL VS A/C TYPES		675.00	CR
04-19-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	19,442.83	19,442.83	DR
04-19-01	JOURNALED	JNL VS A/C TYPES		19,442.83	CR
04-20-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	417	417.00	DR
04-20-01	JOURNALED	JNL VS A/C TYPES		417.00	CR
04-23-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,741	2,741.00	CR
04-23-01	JOURNALED	JNL VS A/C TYPES		2,741.00	DR
04-24-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-987	987.00	CR

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
04-24-01	JOURNALED	JNL VS A/C TYPES		987.00	DR
04-25-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-4.5	4.50	CR
04-25-01	JOURNALED	JNL VS A/C TYPES		4.50	DR
04-26-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-3,043.5	3,043.50	CR
04-26-01	JOURNALED	JNL VS A/C TYPES		3,043.50	DR
04-27-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,343	2,343.00	CR
04-27-01	JOURNALED	JNL VS A/C TYPES		2,343.00	DR
04-30-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	214.5	214.50	DR
04-30-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	3,750.34	3,750.34	DR
04-30-01	JOURNALED	JNL VS A/C TYPES		214.50	CR
04-30-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		3,750.34	CR
		*** Closing Balance ***		.00	CR

2835

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
		*** Opening Balance ***			120,488.00	CR	
04-02-01	JOURNALED	JNL VS A/C TYPES			674.25	CR	
04-03-01	JOURNALED	JNL VS A/C TYPES			674.25	CR	
04-04-01	JOURNALED	JNL VS A/C TYPES			139.50	DR	
04-05-01	JOURNALED	JNL VS A/C TYPES			127.25	DR	
04-06-01	JOURNALED	JNL VS A/C TYPES			1,375.50	DR	
04-06-01	SHORT VS MARGIN	MARK TO MARKET			595.00	CR	
04-09-01	JOURNALED	JNL VS A/C TYPES			638.25	CR	
04-10-01	JOURNALED	JNL VS A/C TYPES			792.00	DR	
04-11-01	JOURNALED	JNL VS A/C TYPES			2,652.00	DR	
04-12-01	JOURNALED	JNL VS A/C TYPES			1,003.50	DR	
04-12-01	SHORT VS MARGIN	MARK TO MARKET			191.00	CR	
04-16-01	JOURNALED	JNL VS A/C TYPES			717.00	DR	
04-17-01	JOURNALED	JNL VS A/C TYPES			933.00	CR	
04-18-01	JOURNALED	JNL VS A/C TYPES			675.00	DR	
04-19-01	JOURNALED	JNL VS A/C TYPES			19,442.83	DR	
04-20-01	JOURNALED	JNL VS A/C TYPES			417.00	DR	

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
04-23-01	YOU SOLD	CROWN CASTLE INTL CORP NFS LLC IS A MARKET MAKER IN THIS SECURITY NFS WAS THE MARKET MAKER ON THIS TRADE @ 23.30 *Long-term gain $5,678.83*	-1,500	29,250.00 C	34,928.83	CR	5,678.83
04-23-01	JOURNALED	JNL VS A/C TYPES			2,741.00	CR	
04-24-01	JOURNALED	JNL VS A/C TYPES			987.00	CR	
04-25-01	JOURNALED	JNL VS A/C TYPES			4.50	CR	
04-26-01	JOURNALED	JNL VS A/C TYPES			3,043.50	CR	
04-27-01	JOURNALED	JNL VS A/C TYPES			2,343.00	CR	
04-27-01	SHORT VS MARGIN	MARK TO MARKET			5,196.00	DR	
04-30-01	JOURNALED	JNL VS A/C TYPES			214.50	DR	
		***** Closing Balance *****			**135,489.50**	**CR**	

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		***** Opening Balance *****		**171,938.00**	**CR**
04-06-01	SHORT VS MARGIN	MARK TO MARKET		595.00	DR
04-12-01	SHORT VS MARGIN	MARK TO MARKET		191.00	DR
04-27-01	SHORT VS MARGIN	MARK TO MARKET		5,196.00	CR
		***** Closing Balance *****		**176,348.00**	**CR**

2837

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash/Cash Equivalents (99.7 %)

Account Type	Description	Symbol Cusip	Quantity	Price on 04/30/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 4.23%	FPRXX 650914203	1,068,137.83	1.00	1,068,137.83
			** Cash Total **		1,379,975.33

Equities (.3 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 04/30/01	Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
MARGIN	ABRAXAS PETE CORP RTS EXP 12/21/2000	AXASZ 003831112	5,962	.25	1,490.50	2,915.00 C	-1,424.50
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.009	-90.00		
MARGIN	LOEHMANNS HLDGS INC	LHMS 540411501	740	3.75	2,775.00	84,687.50 C	-81,912.50
			** Equities Total **		4,175.50		

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 04/30/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
	Corporate Bonds						
SHORT	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003	382550AF8	-100,000	101.118	-101,118.00	98,885.35	-2,232.65

Account Statement April 01, 2001 through April 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (.0 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 04/30/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/-Loss
MARG'N	LOEHMANNS INC. 11 67 5% SR NTS DUE 5/15/2 003 (ESCROW)	5404179A2	500,000 Estimated Annual Income 59,375.00	Unavailable	.00		
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100 Estimated Annual Income 22,451.00	Unavailable	.00		
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8	800,000 Estimated Annual Income 77,000.00 Estimated Yield 60.156%	16.00	128,000.00	127,642.06 C	357.94
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	75.00	-75,000.00	62,093.75	-12,906.25

**** Fixed Income Total **** **-48,118.00**

***** For an explanation of fixed income pricing, please see the back of the statement *****

****** Total Assets ****** **1,336,032.63**

Footnotes and Cost Basis Information

C - This information has been provided by you, the customer. Your Broker/Dealer and NFSLLC, are not responsible for its accuracy

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. If you have any questions about your individual tax situation, please consult your tax advisor.

END OF STATEMENT

1010531 0270 001143754
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement May 01, 2001 through May 31, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 8555

RR Number 100

Copies of this statement have been sent to:

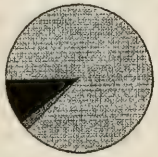
MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	301,820.00	311,837.50
Money Markets	892,022.86	1,068,137.83
Equities		
Equities	26,325.76	4,175.50
Fixed Income		
Corporate Bonds	133,014.08	-48,118.00
Total Assets	**1,353,183.70**	**1,336,032.83**

Portfolio Allocation

Portfolio Allocation on May 31, 2001



Cash/ Cash Equivalents	**88.2%**
Equities	**2.0%**
Fixed Income	**9.8%**

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	311,837.50
Total Securities Purchased	267,343.47	.00
Total Securities Sold	.00	254,031.50
Income Received	.00	3,294.47
Ending Balance	.00	301,820.00

Realized Gain/Loss Summary - As of Trade Date

	This Period	Year-To-Date
Short-Term Gain	.00	80,849.65
Short-Term Loss	.00	.00
Short-Term Disallowed Loss	.00	.00
Net Short	**.00**	**80,849.65**
Long-Term Gain	.00	39,133.27
Long-Term Loss	.00	.00
Long-Term Disallowed Loss	.00	.00
Net Long	**.00**	**39,133.27**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Income Summary

	This Period	Year-To-Date
Taxable Dividends	3,294.47	18,973.72
Corporate Interest	.00	103,150.22
Total Taxable Income	**3,294.47**	**122,123.94**
Return of Principal	.00	34,357.94
Total Non-Taxable Income	**.00**	**34,357.94**
Total Income	**3,294.47**	**156,481.88**
Other Totals		
Sales Proceeds	.00	103,213.51

Account Activity

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
		*** Opening Balance ***			.00	CR	
05-01-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	70.5		70.50	DR	

2841

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEY F
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
05-01-01	JOURNALED	JNL VS A/C TYPES			70.50	CR	
05-02-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,681.5		1,681.50	DR	
05-02-01	JOURNALED	JNL VS A/C TYPES			1,681.50	CR	
05-03-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,823		1,823.00	DR	
05-03-01	JOURNALED	JNL VS A/C TYPES			1,823.00	CR	
05-04-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-94.5		94.50	CR	
05-04-01	JOURNALED	JNL VS A/C TYPES			94.50	DR	
05-07-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-166.5		166.50	CR	
05-07-01	JOURNALED	JNL VS A/C TYPES			166.50	DR	
05-08-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-937.5		937.50	CR	
05-08-01	JOURNALED	JNL VS A/C TYPES			937.50	DR	
05-09-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-70.5		70.50	CR	
05-09-01	JOURNALED	JNL VS A/C TYPES			70.50	DR	
05-10-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	841.5		841.50	DR	
05-10-01	JOURNALED	JNL VS A/C TYPES			841.50	CR	

2842

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
05-11-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,969.5		1,969.50	DR	
05-11-01	JOURNALED	JNL VS A/C TYPES			1,969.50	CR	
05-14-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,269		1,269.00	DR	
05-14-01	JOURNALED	JNL VS A/C TYPES			1,269.00	CR	
05-15-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-76.5		76.50	CR	
05-15-01	JOURNALED	JNL VS A/C TYPES			76.50	DR	
05-16-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-75		75.00	CR	
05-16-01	JOURNALED	JNL VS A/C TYPES			75.00	DR	
05-17-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	103		103.00	DR	
05-17-01	JOURNALED	JNL VS A/C TYPES			103.00	CR	
05-18-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	144		144.00	DR	
05-18-01	JOURNALED	JNL VS A/C TYPES			144.00	CR	
05-21-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	96		96.00	DR	
05-21-01	JOURNALED	JNL VS A/C TYPES			96.00	CR	

2843

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Per's	Transaction Amount	DR/ CR	Realized G/or/Loss
05-22-01	YOU BOUGHT	GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004 CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 6.125	80,000	4,920.00	4,920.00	DR	
05-22-01	YOU BOUGHT	GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004 ACTED AS PRINCIPAL CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 6	475,000	28,500.00	28,500.00	DR	
05-22-01	YOU BOUGHT	PSINET INC SR NOTES 11.00% 08/01/2009 ACTED AS PRINCIPAL CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 10	500,000	50,000.00	50,000.00	DR	
05-22-01	YOU BOUGHT	WINSTAR COMM SR NOTES 12.75% 04/15/2010 ACTED AS PRINCIPAL CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 2.25	2,000,000	45,000.00	45,000.00	DR	
05-22-01	YOU BOUGHT	WORLDWIDE FIBER SENIOR NOTES 12.50% 12/15/2005 ACTED AS PRINCIPAL CORR SETTLEMENT DATE CORRECTED CONFIRM @ 6.75	500,000	33,750.00	61,006.94	DR	
05-22-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-128,404.5		128,404.50	CR	
05-22-01	JOURNALED	JNL VS A/C TYPES			15.50	CR	
05-23-01	JOURNALED	PSINET INC SR NOTES 11.00% 08/01/2009 AUTO JOURNAL 1 TO 2 VS NW7-000060-2	-500,000		.00	CR	
05-23-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-122,240		122,240.00	CR	
05-23-01	JOURNALED	JNL VS A/C TYPES			52.50	DR	

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
05-24-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	66,511.56		66,511.56	DR	
05-24-01	JOURNALED	JNL VS A/C TYPES			5,331.00	CR	
05-25-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	79.5		79.50	DR	
05-25-01	JOURNALED	JNL VS A/C TYPES			79.50	CR	
05-29-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,764		1,764.00	CR	
05-29-01	JOURNALED	JNL VS A/C TYPES			1,764.00	DR	
05-30-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	33		33.00	DR	
05-30-01	JOURNALED	JNL VS A/C TYPES			33.00	CR	
05-31-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	3,294.47		3,294.47	DR	
05-31-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-202.5		202.50	CR	
05-31-01	JOURNALED	JNL VS A/C TYPES			202.50	DR	
05-31-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED			3,294.47	CR	
		*** Closing Balance ***			.00	CR	

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/CR	Realized Gain/Loss
		*** Opening Balance ***			135,489.50	CR	
05-01-01	MERGER	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005 MER FROM 5404179A2	1,245	Unknown	.00	CR	
05-01-01	MERGER	LOEHMANNS HLDGS INC MER FROM 5404179A2	280	Unknown	.00	CR	
05-01-01	MERGER	LOEHMANNS INC. 11.87 EXCH FOR .5601483 SHARES OF 540411501 & 2.49072602 BDS OF 540411AD7 FOR EVERY 1M BD HELD MER PAYOUT	-500,000		.00	CR	
05-01-01	JOURNALED	JNL VS A/C TYPES			70.50	DR	
05-02-01	JOURNALED	JNL VS A/C TYPES			1,681.50	DR	
05-03-01	JOURNALED	JNL VS A/C TYPES			1,823.00	DR	
05-04-01	JOURNALED	JNL VS A/C TYPES			94.50	CR	
05-04-01	SHORT VS MARGIN	MARK TO MARKET			2,070.00	CR	
05-07-01	JOURNALED	JNL VS A/C TYPES			166.50	CR	
05-08-01	JOURNALED	JNL VS A/C TYPES			937.50	CR	
05-09-01	MERGER	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005 MER RESCND 5404179A2	-1,245		.00	CR	
05-09-01	MERGER	LOEHMANNS HLDGS INC MER RESCND 5404179A2	-280		.00	CR	

2846

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
05-09-01	MERGER	LOEHMANNS INC. 11.87 EXCH FOR .5601483 SHARES OF 540411501 & 2.49072602 BDS OF 540411AD7 FOR EVERY 1M BD HELD MER RESCND 5404179A2	500,000	Unknown	.00	CR	
05-09-01	JOURNALED	JNL VS A/C TYPES			70.50	CR	
05-10-01	JOURNALED	JNL VS A/C TYPES			841.50	DR	
05-11-01	JOURNALED	JNL VS A/C TYPES			1,969.50	DR	
05-11-01	SHORT VS MARGIN	MARK TO MARKET			891.00	CR	
05-14-01	EXPIRED	LOEHMANNS INC. 11.87 EXPIRED AS OF 05/10/01 EXPIRATION	-500,000	Unknown	.00	CR	
05-14-01	JOURNALED	JNL VS A/C TYPES			1,269.00	DR	
05-15-01	JOURNALED	JNL VS A/C TYPES			76.50	CR	
05-16-01	JOURNALED	JNL VS A/C TYPES			75.00	CR	
05-17-01	MERGER	LOEHMANNS HLDGS INC	4,319	Unknown	.00	CR	
05-17-01	JOURNALED	JNL VS A/C TYPES			103.00	DR	
05-18-01	JOURNALED	JNL VS A/C TYPES			144.00	DR	
05-18-01	SHORT VS MARGIN	MARK TO MARKET			703.00	CR	
05-21-01	JOURNALED	JNL VS A/C TYPES			96.00	DR	
05-22-01	JOURNALED	JNL VS A/C TYPES			15.50	DR	

2847

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
05-23-01	JOURNALED	PSINET INC SR NOTES 11.00% 08/01/2009 AUTO JOURNAL 1 TO 2 VS NW7-000060-1	500,000		.00	CR	
05-23-01	JOURNALED	JNL VS A/C TYPES			52.50	CR	
05-24-01	JOURNALED	JNL VS A/C TYPES			5,331.00	DR	
05-25-01	JOURNALED	JNL VS A/C TYPES			78.50	DR	
05-25-01	SHORT VS MARGIN	MARK TO MARKET			3,043.00	CR	
05-29-01	MERGER	ABRAXAS PETE CORP MER FROM 003831112	1,243	2,915.00 C	.00	CR	
05-29-01	MERGER	ABRAXAS PETE CORP RTS EXP 12/21/2000 EXCH FOR .20650 SHARES OF ABRAXAS PETE CORP MER PAYOUT	-5,962		.00	CR	
05-29-01	JOURNALED	JNL VS A/C TYPES			1,764.00	CR	
05-30-01	JOURNALED	JNL VS A/C TYPES			33.00	DR	
05-31-01	JOURNALED	JNL VS A/C TYPES			202.50	CR	
		*** Closing Balance ***			132,179.00	CR	

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		*** Opening Balance ***		176,348.00	CR
05-04-01	SHORT VS MARGIN	MARK TO MARKET		2,070.00	DR

2848

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
05-11-01	SHORT VS MARGIN	MARK TO MARKET		891.00	DR
05-18-01	SHORT VS MARGIN	MARK TO MARKET		703.00	DR
05-25-01	SHORT VS MARGIN	MARK TO MARKET		3,043.00	DR
		***** Closing Balance *****		**169,641.00**	**CR**

Portfolio Detail

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash/Cash Equivalents (88.2 %)

Account Type	Description	Symbol Cusip	Quantity	Price on 05/31/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 3.52%	FPRXX 650914203	892,022.86	1.00	892,022.86
			**** Cash Total ****		**1,193,842.86**

Equities (2.0 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 05/31/01	Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
MARGIN	ABRAXAS PETE CORP	ABP 003830106 Reinv	1,243	4.37	5,431.91	2,915.00 C	2,516.91
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.01	-100.00		

2849

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Equities (2.0 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 05/31/01	Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
MARGIN	LOEHMANNS HLDGS INC	LHMS 540411501	5,059	4.15	20,994.85		
			** Equities Total **		26,326.76		

Fixed Income (9.8 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 05/31/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
	Corporate Bonds						
SHORT	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003	382550AF8	-100,000	102.876	-102,876.00	98,885.35	-3,990.65
CASH	GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004	379363AK0	555,000 Estimated Annual Income 63,131.25 Estimated Yield 62.500%	7.00	38,850.00	33,420.00	5,430.00
CASH	WORLDWIDE FIBER SENIOR NOTES 12.50% 12/15/2005	981583AC1	500,000 Estimated Annual Income 62,500.00 Estimated Yield 66.667%	7.50	37,500.00	33,750.00	3,750.00
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100 Estimated Annual Income 22,451.00 Estimated Yield 16.923%	65.00	132,665.00		
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8	800,000 Estimated Annual Income 77,000.00	.00001	.08	127,642.08 C	-127,641.98
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	68.125	-68,125.00	62,093.75	-6,031.25

2850

Account Statement May 01, 2001 through May 31, 2001
Customer Name: LOWEY F
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (9.8 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 05/31/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/-Loss
MARGIN	PSINET INC SR NOTES 11.00% 08/01/2009	69363VAB3	500,000	9.50	47,500.00	50,000.00	-2,500.00
			Estimated Annual Income 55,000.00				
			Estimated Yield 15.789%				
CASH	WINSTAR COMM SR NOTES 12.75% 04/15/2010	975515AX5	2,000,000	2.375	47,500.00	45,000.00	2,500.00
			Estimated Annual Income 255,000.00				
			Estimated Yield 36.842%				
			** Fixed Income Total **		133,014.08		

*** For an explanation of fixed income pricing, please see the back of the statement ***

**** Total Assets **** 1,353,183.70

Footnotes and Cost Basis Information

C - This information has been provided by you, the customer. Your Broker/Dealer and NFSLLC, are not responsible for its accuracy

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. If you have any questions about your individual tax situation, please consult your tax advisor.

END OF STATEMENT

2851

1010829 0270 001159252
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement June 01, 2001 through June 30, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 9555

RR Number 100

Copies of this statement have been sent to:

MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	415,526.67	301,820.00
Money Markets	854,551.12	892,022.86
Equities		
Equities	44,572.83	26,326.76
Fixed Income		
Corporate Bonds	47,327.08	133,014.08
Total Assets	**1,361,979.70**	**1,353,183.70**

Portfolio Allocation

Portfolio Allocation on June 30, 2001

Cash/ Cash Equivalents	**93.2%**
Equities	**3.3%**
Fixed Income	**3.5%**

2852

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	301,820.00
Total Securities Purchased	81,760.93	.00
Total Securities Sold	.00	192,913.23
*Income Received	.00	2,556.37
Ending Balance	.00	415,528.67

Realized Gain/Loss Summary - As of Trade Date

	This Period	Year-To-Date
Short-Term Gain	9,375.00	90,224.65
Short-Term Loss	.00	.00
Short-Term Disallowed Loss	.00	.00
Net Short	**9,375.00**	**90,224.65**
Long-Term Gain	.00	39,133.27
Long-Term Loss	.00	.00
Long-Term Disallowed Loss	.00	.00
Net Long	**.00**	**39,133.27**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Income Summary

	This Period	Year-To-Date
Taxable Dividends	2,656.37	21,530.09
Corporate Interest	.00	103,150.22
Corporate Accrued Interest	30,555.56	30,555.56
Total Taxable Income	**33,111.93**	**155,235.87**
Return of Principal	.00	34,357.94
Total Non-Taxable Income	**.00**	**34,357.94**
Total Income	**33,111.93**	**189,593.81**
Other Totals		
Sales Proceeds	43,125.00	146,338.51

***Original Issue Discount, Accrued Interest, and IRA activity are not included in the Income Received Total.**

2853

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/-Loss
		*** Opening Balance ***			.00	CR	
06-01-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-219		219.00	CR	
06-01-01	JOURNALED	JNL VS A/C TYPES			219.00	DR	
06-04-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-45		45.00	CR	
06-04-01	JOURNALED	JNL VS A/C TYPES			45.00	DR	
06-05-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	399		399.00	DR	
06-05-01	JOURNALED	JNL VS A/C TYPES			399.00	CR	
06-06-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-292		292.00	CR	
06-06-01	JOURNALED	JNL VS A/C TYPES			292.00	DR	
06-07-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	939		939.00	DR	
06-07-01	JOURNALED	JNL VS A/C TYPES			939.00	CR	
06-08-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	895.5		895.50	DR	
06-08-01	JOURNALED	JNL VS A/C TYPES			895.50	CR	

2854

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/-Loss
06-11-01	YOU SOLD	WORLDWIDE FIBER SENIOR NOTES 12.50% 12/15/2005 CORR MARKET/BLOTTER CORRECTED CONFIRM @ 8.625 *Short-term gain $9,375.00*	-500,000	33,750.00	73,680.56	CR	9,375.00
06-11-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	73,775.06		73,775.06	DR	
06-11-01	JOURNALED	JNL VS A/C TYPES			94.50	CR	
06-12-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,893.5		1,893.50	CR	
06-12-01	JOURNALED	JNL VS A/C TYPES			1,893.50	DR	
06-13-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-66		66.00	CR	
06-13-01	JOURNALED	JNL VS A/C TYPES			66.00	DR	
06-14-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,801.5		1,801.50	DR	
06-14-01	JOURNALED	JNL VS A/C TYPES			1,801.50	CR	
06-15-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-976.5		976.50	CR	
06-15-01	JOURNALED	JNL VS A/C TYPES			976.50	DR	
06-18-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	12		12.00	DR	
06-18-01	JOURNALED	JNL VS A/C TYPES			12.00	CR	

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/-Loss
06-19-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-90		90.00	CR	
06-19-01	JOURNALED	JNL VS A/C TYPES			90.00	DR	
06-20-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	9		9.00	DR	
06-20-01	JOURNALED	JNL VS A/C TYPES			9.00	CR	
06-21-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	127.5		127.50	DR	
06-21-01	JOURNALED	JNL VS A/C TYPES			127.50	CR	
06-22-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,774		1,774.00	CR	
06-22-01	JOURNALED	JNL VS A/C TYPES			1,774.00	DR	
06-25-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	469.5		469.50	DR	
06-25-01	JOURNALED	JNL VS A/C TYPES			469.50	CR	
06-26-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	449.5		449.50	DR	
06-26-01	JOURNALED	JNL VS A/C TYPES			449.50	CR	
06-27-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	111		111.00	DR	
06-27-01	JOURNALED	JNL VS A/C TYPES			111.00	CR	
06-28-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	216		216.00	DR	

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
06-28-01	JOURNALED	JNL VS A/C TYPES			216.00	CR	
06-29-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	2,556.37		2,556.37	DR	
06-29-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-113,876.67		113,876.67	CR	
06-29-01	JOURNALED	JNL VS A/C TYPES			113,876.67	DR	
06-29-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED			2,556.37	CR	
		***** Closing Balance *****			**.00**	**CR**	

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
		***** Opening Balance *****		**132,179.00**	**CR**
06-01-01	JOURNALED	JNL VS A/C TYPES		219.00	CR
06-01-01	SHORT VS MARGIN	MARK TO MARKET		1,410.00	DR
06-04-01	JOURNALED	JNL VS A/C TYPES		45.00	CR
06-05-01	JOURNALED	JNL VS A/C TYPES		399.00	DR
06-06-01	JOURNALED	JNL VS A/C TYPES		292.00	CR
06-07-01	JOURNALED	JNL VS A/C TYPES		939.00	DR
06-08-01	JOURNALED	JNL VS A/C TYPES		895.60	DR
06-08-01	SHORT VS MARGIN	MARK TO MARKET		1,036.00	CR

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000050

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/ CR
06-11-01	JOURNALED	JNL VS A/C TYPES		94.50	DR
06-12-01	JOURNALED	JNL VS A/C TYPES		1,893.50	CR
06-13-01	JOURNALED	JNL VS A/C TYPES		68.00	CR
06-14-01	JOURNALED	JNL VS A/C TYPES		1,801.50	DR
06-15-01	JOURNALED	JNL VS A/C TYPES		976.50	CR
06-15-01	SHORT VS MARGIN	MARK TO MARKET		600.00	DR
06-18-01	JOURNALED	JNL VS A/C TYPES		12.00	DR
06-19-01	JOURNALED	JNL VS A/C TYPES		90.00	CR
06-20-01	JOURNALED	JNL VS A/C TYPES		9.00	DR
06-21-01	JOURNALED	JNL VS A/C TYPES		127.50	DR
06-22-01	JOURNALED	JNL VS A/C TYPES		1,774.00	CR
06-22-01	SHORT VS MARGIN	MARK TO MARKET		937.00	DR
06-25-01	JOURNALED	JNL VS A/C TYPES		469.50	DR
06-26-01	JOURNALED	JNL VS A/C TYPES		449.50	DR
06-27-01	JOURNALED	JNL VS A/C TYPES		111.00	DR
06-28-01	JOURNALED	JNL VS A/C TYPES		216.00	DR
06-29-01	JOURNALED	JNL VS A/C TYPES		113,876.67	CR
06-29-01	SHORT VS MARGIN	MARK TO MARKET		903.00	CR
		***** Closing Balance *****		**244,879.67**	**CR**

2858

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Transaction Amount	DR/CR
		*** Opening Balance ***		169,641.00	CR
06-01-01	SHORT VS MARGIN	MARK TO MARKET		1,410.00	CR
06-08-01	SHORT VS MARGIN	MARK TO MARKET		1,036.00	DR
06-15-01	SHORT VS MARGIN	MARK TO MARKET		800.00	CR
06-22-01	SHORT VS MARGIN	MARK TO MARKET		937.00	CR
06-29-01	SHORT VS MARGIN	MARK TO MARKET		903.00	DR
		*** Closing Balance ***		170,649.00	CR

Portfolio Detail

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash/Cash Equivalents (93.2 %)

Account Type	Description	Symbol Code	Quantity	Price on 06/30/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 3.20%	FPRXX 650914203	854,551.12	1.00	854,551.12
			** Cash Total **		1,270,079.79

2859

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Equities (3.3 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 06/30/01	Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
MARGIN	ABRAXAS PETE CORP	ABP 003830106 Reinv	1,243	3.16	3,927.88	2,915.00 C	1,012.88
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.008	-80.00		
MARGIN	LOEHMANNS HLDGS INC	LHMS 540411501	5,059	8.05	40,724.95		
			** Equities Total **		44,572.83		

Fixed Income (3.5 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 06/30/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
	Corporate Bonds						
SHORT	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003	382550AF8	-100,000	102.518	102,518.00	98,885.35	-3,632.65
CASH	GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004	379363AK0	555,000	4.50	24,975.00	33,420.00	-8,445.00
			Estimated Annual Income 63,131.25				
			Estimated Yield 52.778%				
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100	70.00	142,870.00		
			Estimated Annual Income 22,451.00				
			Estimated Yield 15.714%				
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8	800,000	.00001	.08	127,642.06 C	-127,641.98
			Estimated Annual Income 77,000.00				

Account Statement June 01, 2001 through June 30, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (3.5 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 06/30/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	68.00	-68,000.00	62,093.75	-5,906.25
MARGIN	PSINET INC SR NOTES 11.00% 08/01/2009	69363VAB3	500,000	6.00	30,000.00	50,000.00	-20,000.00
			Estimated Annual Income 55,000.00				
			Estimated Yield 83.333%				
CASH	WINSTAR COMM SR NOTES 12.75% 04/15/2010	975515AX5	2,000,000	1.00	20,000.00	45,000.00	-25,000.00
			Estimated Annual Income 255,000.00				
			Estimated Yield 75.000%				
			** Fixed Income Total **		47,327.08		

*** For an explanation of fixed income pricing, please see the back of the statement ***

**** Total Assets **** 1,361,979.70

Trades Pending Settlement

Trade Date	Settlement Date	Activity	Description	Quantity	Cost Basis/ Proceeds	Transaction DR/ Amount CR	Realized Gain/Loss
06-28-01	07-03-01	BOUGHT	COMDISCO INC NTS 6.13% 08/01/2006 ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM	250,000	198,750.00	205,220.56 DR	
06-28-01	07-03-01	SOLD SHORT	COMDISCO INC NTS 5.95% 04/30/2002 MAKE WHOLE CALL SHORT SALE ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM	250,000	195,103.13	195,103.13 CR	

*** These trades will be posted to your account on settlement date ***

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Footnotes and Cost Basis Information

C - This information has been provided by you, the customer. Your Broker/Dealer and NFSLLC, are not responsible for its accuracy

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not subsitute for your own tax records and may not be accurate for tax reporting purposes. If you have any questions about your individual tax situation, please consult your tax advisor.

END OF STATEMENT

2862

1010731 0270 001155370
BROWNSTONE INVESTMENT GROUP
800 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Statement July 01, 2001 through July 31, 2001

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS DOUGLAS B. LOWEY

For Questions Call: Local 212 750 9555

RR Number 100

Copies of this statement have been sent to:

MR. STEPHEN LOWEY

Account Valuation

	This Period	Last Period
Cash/Cash Equivalents		
Cash	238,419.00	415,528.67
Money Markets	568,235.16	854,551.12
Equities		
Equities	276,163.90	44,572.83
Fixed Income		
Corporate Bonds	675,609.08	47,327.08
Total Assets	1,758,427.14	1,361,979.70

Portfolio Allocation

Portfolio Allocation on July 31, 2001

Cash/ Cash Equivalents	45.9%
Equities	15.7%
Fixed Income	38.4%

2863

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Activity Summary

	Debits	Credits
Beginning Balance	.00	415,528.67
Total Securities Purchased	1,518,978.90	.00
Total Securities Sold	.00	940,309.36
*Income Received	.00	1,559.96
Total Deposits	.00	400,000.00
Other	.09	.00
Ending Balance	.00	238,419.00

Realized Gain/Loss Summary - As of Trade Date

	This Period	Year-To-Date
Short-Term Gain	4,950.00	95,174.65
Short-Term Loss	4,896.87	4,896.87
Short-Term Disallowed Loss	.00	.00
Net Short	**53.13**	**90,277.78**
Long-Term Gain	1,067.31	40,200.58
Long-Term Loss	.00	.00
Long-Term Disallowed Loss	.00	.00
Net Long	**1,067.31**	**40,200.58**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Income Summary

	This Period	Year-To-Date
Taxable Dividends	1,559.96	23,090.05
Corporate Interest	.00	103,150.22
Corporate Accrued Interest	2,603.13	33,158.69
Total Taxable Income	**4,163.09**	**159,398.96**
Return of Principal	.00	34,357.94
Total Non-Taxable Income	**.00**	**34,357.94**
Total Income	**4,163.09**	**193,756.90**
Other Totals		
Sales Proceeds	196,702.60	343,041.11

***Original Issue Discount, Accrued Interest, and IRA activity are not included in the Income Received Total.**

2864

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B LOWEY

Account Activity

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/CR	Realized Gain/Loss
		*** Opening Balance ***			.00	CR	
07-02-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-2,363.5		2,363.50	CR	
07-02-01	JOURNALED	JNL VS A/C TYPES			2,363.50	DR	
07-03-01	YOU BOUGHT	COMDISCO INC NTS 6.13% 08/01/2006 ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 79.50	250,000	198,750.00	205,220.56	DR	
07-03-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-205,334.56		205,334.56	CR	
07-03-01	JOURNALED	JNL VS A/C TYPES			114.00	DR	
07-05-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-4,935.5		4,935.50	CR	
07-05-01	JOURNALED	JNL VS A/C TYPES			4,935.50	DR	
07-05-01	JOURNALED	VS NW7-000060-2			70,761.00	DR	
07-06-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-70,761		70,761.00	CR	
07-09-01	DISTRIBUTION	FOREST OIL CORP COM PAR $0.01	9	Unknown	.09	DR	
07-09-01	DIVIDEND RECEIVED	FOREST OIL CORP COM PAR $0.01			.09	CR	

2865

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
07-10-01	JOURNALED	FOREST OIL CORP COM PAR $0.01 AUTO JOURNAL 1 TO 2 VS NW7-000060-2	-9		.00	CR	
07-12-01	JOURNALED	VS NW7-000060-2			21,069.00	DR	
07-13-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,057.54		1,057.54	CR	
07-13-01	JOURNALED	JNL VS A/C TYPES			20,011.46	CR	
07-16-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	52.19		52.19	DR	
07-16-01	JOURNALED	JNL VS A/C TYPES			52.19	CR	
07-17-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	187,444.28		187,444.28	DR	
07-17-01	JOURNALED	JNL VS A/C TYPES			187,444.28	CR	
07-18-01	YOU BOUGHT	FEDERAL MOGUL CORP NTS 7.75% 07/01/2009 MAKE WHOLE CALL ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 15.25	500,000	76,250.00	78,079.86	DR	
07-18-01	YOU BOUGHT	LUCENT TECH DEB 6.45% 03/15/2029 ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 63	250,000	157,500.00	163,009.39	DR	
07-18-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-241,632.33		241,632.33	CR	
07-18-01	JOURNALED	JNL VS A/C TYPES			543.08	DR	

2866

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
07-19-01	JOURNALED	LUCENT TECH DEB 6.45% 03/15/2029 AUTO JOURNAL 1 TO 2 VS NW7-000060-2	-250,000		.00	CR	
07-19-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,959.96		1,959.96	CR	
07-19-01	JOURNALED	JNL VS A/C TYPES			1,959.96	DR	
07-20-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	64,710.12		64,710.12	DR	
07-20-01	JOURNALED	JNL VS A/C TYPES			64,710.12	CR	
07-23-01	YOU BOUGHT	INTERMEDIA COMMS INC PFD SER B EXCH 13.50 % ACTED AS PRINCIPAL @ 1067.50	200	213,500.00	213,500.00	DR	
07-23-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-211,002.74		211,002.74	CR	
07-23-01	JOURNALED	JNL VS A/C TYPES			2,497.26	CR	
07-24-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,501.13		1,501.13	DR	
07-24-01	JOURNALED	JNL VS A/C TYPES			1,501.13	CR	
07-25-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-1,496		1,496.00	CR	
07-25-01	JOURNALED	JNL VS A/C TYPES			1,496.00	DR	
07-26-01	YOU BOUGHT	NORTHPOINT COMM SENIOR NOTES 12.875% 02/15/2010 CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 8.875	1,000,000	88,800.00	88,800.00	DR	

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Cash Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
07-26-01	YOU BOUGHT	WILLIAMS COMM GRP SR NOTES 11.875% 08/01/2010 ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 40.50	250,000	101,250.00	115,681.42	DR	
07-26-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	197,976.08		197,976.08	DR	
07-26-01	JOURNALED	JNL VS A/C TYPES			2,457.50	CR	
07-26-01	WIRE TRANS FROM BANK	WR01364947			400,000.00	CR	
07-27-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-57		57.00	CR	
07-27-01	JOURNALED	JNL VS A/C TYPES			57.00	DR	
07-30-01	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,444		1,444.00	DR	
07-30-01	JOURNALED	JNL VS A/C TYPES			1,444.00	CR	
07-31-01	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	1,559.87		1,559.87	DR	
07-31-01	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	-403.5		403.50	CR	
07-31-01	JOURNALED	JNL VS A/C TYPES			403.50	DR	
07-31-01	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED			1,559.87	CR	
		***** Closing Balance *****			.00	CR	

2868

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
		*** Opening Balance ***			244,879.67	CR	
07-02-01	JOURNALED	JNL VS A/C TYPES			2,363.50	CR	
07-03-01	JOURNALED	JNL VS A/C TYPES			114.00	CR	
07-05-01	JOURNALED	JNL VS A/C TYPES			4,935.50	CR	
07-05-01	JOURNALED	VS NW7-000060-1			70,761.00	CR	
07-06-01	SHORT VS MARGIN	MARK TO MARKET			9,833.87	DR	
07-10-01	JOURNALED	FOREST OIL CORP COM PAR $0.01 AUTO JOURNAL 1 TO 2 VS NW7-000060-1	9		.00	CR	
07-12-01	JOURNALED	VS NW7-000060-1			21,069.00	CR	
07-13-01	JOURNALED	JNL VS A/C TYPES			20,011.46	DR	
07-13-01	SHORT VS MARGIN	MARK TO MARKET			10,530.00	CR	
07-16-01	JOURNALED	JNL VS A/C TYPES			52.19	DR	
07-17-01	JOURNALED	JNL VS A/C TYPES			187,444.28	DR	
07-18-01	JOURNALED	JNL VS A/C TYPES			543.08	CR	
07-19-01	JOURNALED	LUCENT TECH DEB 6.45% 03/15/2029 AUTO JOURNAL 1 TO 2 VS NW7-000060-1	250,000		.00	CR	
07-19-01	JOURNALED	JNL VS A/C TYPES			1,959.96	CR	
07-20-01	JOURNALED	JNL VS A/C TYPES			64,710.12	DR	

2869

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Margin Account Activity

Settlement Date	Transaction	Description	Quantity	Cost Basis	Transaction Amount	DR/ CR	Realized Gain/Loss
07-20-01	SHORT VS MARGIN	MARK TO MARKET			9,129.24	DR	
07-23-01	JOURNALED	JNL VS A/C TYPES			2,497.26	DR	
07-24-01	JOURNALED	JNL VS A/C TYPES			1,501.13	DR	
07-25-01	JOURNALED	JNL VS A/C TYPES			1,496.00	CR	
07-26-01	YOU SOLD	ABRAXAS PETE CORP @ 3.22 *Long-term gain $1,067.31*	-1,243	2,915.00 C	3,982.31	CR	1,067.31
07-26-01	YOU SOLD	FOREST OIL CORP COM PAR $0.01 @ 26.70	-9	Unknown	220.29	CR	
07-26-01	JOURNALED	JNL VS A/C TYPES			2,457.50	DR	
07-27-01	JOURNALED	JNL VS A/C TYPES			57.00	CR	
07-27-01	SHORT VS MARGIN	MARK TO MARKET			2,752.24	CR	
07-30-01	JOURNALED	JNL VS A/C TYPES			1,444.00	DR	
07-31-01	JOURNALED	JNL VS A/C TYPES			403.50	CR	
		***** Closing Balance *****			**66,966.00**	**CR**	

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Proceeds	Transaction Amount	DR/ CR	Realized Gain/Loss
		***** Opening Balance *****			**170,649.00**	**CR**	

2870

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000080

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Account Activity

Short Account Activity

Settlement Date	Transaction	Description	Quantity	Proceeds	Transaction Amount	CR/ CR	Realized Gain/-Loss
07-03-01	YOU SOLD	COMDISCO INC NTS 5.95% 04/30/2002 MAKE WHOLE CALL SHORT SALE ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 77	-250,000	195,103.13	195,103.13	CR	
07-06-01	SHORT VS MARGIN	MARK TO MARKET			9,833.87	CR	
07-13-01	SHORT VS MARGIN	MARK TO MARKET			10,530.00	DR	
07-19-01	YOU BOUGHT	COMDISCO INC NTS 5.95% 04/30/2002 MAKE WHOLE CALL SHORT COVER ACTED AS PRINCIPAL CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 80 *Short-term loss $4,896.67*	250,000	195,103.13	200,000.00	DR	-4,896.87
07-19-01	YOU BOUGHT	COMDISCO INC NTS 5.95% 04/30/2002 MAKE WHOLE CALL SHORT COVER ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 80	250,000		203,264.24	DR	
07-19-01	CANCELLED BUY	COMDISCO INC NTS 5.95% 04/30/2002 MAKE WHOLE CALL CANCELLED TRADE ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM CXL OFFSET ACCOUNT	-250,000		203,264.24	CR	
07-20-01	SHORT VS MARGIN	MARK TO MARKET			9,129.24	CR	
07-27-01	SHORT VS MARGIN	MARK TO MARKET			2,752.24	DR	
		*** Closing Balance ***			171,433.00	CR	

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been used for all your investments in the security. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Cash/Cash Equivalents (45.9 %)

Account Type	Description	Symbol Cusip	Quantity	Price on 07/31/01	Market Value
CASH	PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 3.02%	FPRXX 650914203	568,235.16	1.00	568,235.16
			** Cash Total **		806,654.16

Equities (15.7 %)

Account Type	Description	Symbol Cusip Div Option	Quantity	Price on 07/31/01	Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
CASH	INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	458801404	200	1,075.00	215,000.00	213,500.00	1,500.00
SHORT	JUST FOR FEET INC	FEETQ 48213P106 Reinv	-10,000	.005	-50.00		
MARGIN	LOEHMANNS HLDGS INC	LHMS 540411501	5,059	12.10	61,213.90		
			** Equities Total **		276,163.90		

Fixed Income (38.4 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 07/31/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
	Corporate Bonds						
SHORT	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003	382550AF8	-100,000	103.121	-103,121.00	98,885.35	-4,235.65

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (38.4 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 07/31/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/-Loss
CASH	GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004	379363AK0	555,000	4.00	22,200.00	33,420.00	-11,220.00
			Estimated Annual Income 63,131.25				
			Estimated Yield 84.375%				
MARGIN	LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7	204,100	80.00	163,280.00		
			Estimated Annual Income 22,451.00				
			Estimated Yield 13.750%				
CASH	FEDERAL MOGUL CORP NTS 7.75% 07/01/2006 MAKE WHOLE CALL	313549AL1	500,000	14.00	70,000.00	76,250.00	-6,250.00
			Estimated Annual Income 38,750.00				
			Estimated Yield 55.357%				
CASH	COMDISCO INC NTS 6.13% 08/01/2006	200336AS4	250,000	82.25	205,625.00	198,750.00	6,875.00
			Estimated Annual Income 15,325.00				
			Estimated Yield 7.453%				
CASH	TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8	800,000	.00001	.08	127,642.06 C	-127,641.98
			Estimated Annual Income 77,000.00				
SHORT	METALS USA INC SR NT 8.625% 02/15/2008	591324AC2	-100,000	68.00	-68,000.00	62,093.75	-5,906.25
MARGIN	PSINET INC SR NOTES 11.00% 08/01/2009	69363VAB3	500,000	5.50	27,500.00	50,000.00	-22,500.00
			Estimated Annual Income 55,000.00				
CASH	NORTHPOINT COMM SENIOR NOTES 12.875% 02/15/2010	666610AB6	1,000,000	8.00	80,000.00	88,800.00	-8,800.00
			Estimated Annual Income 128,750.00				
			Estimated Yield 60.938%				
CASH	WINSTAR COMM SR NOTES 12.75% 04/15/2010	975515AX5	2,000,000	.625	12,500.00	45,000.00	-32,500.00
			Estimated Annual Income 255,000.00				
			Estimated Yield 40.000%				
CASH	WILLIAMS COMM GRP SR NOTES 11.875% 08/01/2010	969455AH7	250,000	43.00	107,500.00	101,250.00	6,250.00
			Estimated Annual Income 29,687.50				
			Estimated Yield 27.616%				

Account Statement July 01, 2001 through July 31, 2001
Customer Name: LOWEYF
Account Number: NW7-000060

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY

Portfolio Detail

Fixed Income (38.4 %)

Account Type	Description	Cusip	Quantity	Estimated Price on 07/31/01	Estimated Market Value	Total Cost Basis / Proceeds	Unrealized Gain/Loss
MARGIN	LUCENT TECH DEB 6.45% 03/15/2029	549463AE7	250,000	63.25	158,125.00	157,500.00	625.00
			Estimated Annual Income 16,125.00				
			Estimated Yield 10.198%				
			** Fixed Income Total **		675,609.08		

*** For an explanation of fixed income pricing, please see the back of the statement ***

**** Total Assets **** 1,758,427.14

Trades Pending Settlement

Trade Date	Settlement Date	Activity	Description	Quantity	Cost Basis	Transaction DR/ Amount CR	Realized Gain/Loss
07-27-01	08-01-01	BOUGHT	BENEDEK COMMUNICATIONS PFD 1 1.50% 05/15/2008 ACTED AS PRINCIPAL	1,000	280,000.00	280,000.00 DR	
07-31-01	08-03-01	SOLD	LUCENT TECH DEB 6.45% 03/15/2029 *Short-term gain $4,950.00*	250,000	157,500.00	168,631.25 CR	4,950.00

*** These trades will be posted to your account on settlement date ***

Footnotes and Cost Basis Information

C - This information has been provided by you, the customer. Your Broker/Dealer and NFSLLC, are not responsible for its accuracy

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. If you have any questions about your individual tax situation, please consult your tax advisor.

2874

010831 280 001108808
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Number:NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY
RR#: 100

FOR QUESTIONS OR UP-TO-DATE ACCOUNT INFORMATION:
Local 212 750 9555

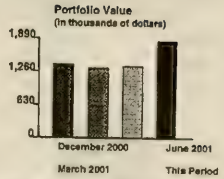
Statement Date: **08/01/01 to 08/31/01**

SNAPSHOT

TOTAL PORTFOLIO
$1,862,707.02

PORTFOLIO VALUE	This Period	Prior Period	% Change
Cash and Cash Equivalents	$1,036,886.24	$806,654.16	28.56
Securities	$825,720.78	$951,772.98	(13.24)
TOTAL PORTFOLIO VALUE	**$1,862,707.02**	**$1,758,427.14**	**5.93**

Cash and Cash Equivalents will include margin debit and credit balances.



A portfolio value less than "0" will not be displayed.

ACCOUNT ACTIVITY	This Period	Year-To-Date
Net Trading	($83,146.79)	($1,040,870.22)
Net Additions and Withdrawals	$0.00	$346,859.28
Net Income and Expenses	$24,338.29	$218,093.19
Net Miscellaneous Activity	$0.00	($15.00)

MARGIN PROFILE	This Period
Margin Balance	($76,529.50)
Equity Buying Power	$317.14
Available to Withdraw	($111.00)
Available to Borrow	$0.00

Balances and margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed.

LEGEND
( ) Numbers in parenthesis are debits or subtractions
NFS = National Financial Services LLC

Account carried with National Financial Services LLC, Member NYSE, SIPC

2875

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: 08/01/2001 to 08/31/2001

SUMMARY

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents		
Cash	$179,608.50	$238,419.00
Money Markets	$857,377.74	$568,235.16
Securities		
Equities		
Equity	$254,410.20	$276,163.90
Fixed Income		
Corporate Bonds	$571,310.58	$675,609.08
Total Securities	$825,720.78	$951,772.98
TOTAL PORTFOLIO VALUE	$1,862,707.02	$1,758,427.14

ACCOUNT ACTIVITY	This Period	Year-To-Date
BEGINNING BALANCE	$238,419.00	
Trading		
Securities Purchased	($838,062.12)	($3,682,993.87)
Securities Sold	$762,663.42	$2,683,030.23
Less Total Accrued Interest Earned	($7,748.09)	($40,906.78)
NET TRADING	($83,146.79)	($1,040,870.22)
Additions and Withdrawals		
Deposits	$0.00	$400,000.00
Other Additions and Withdrawals	$0.00	($53,140.72)
NET ADDITIONS AND WITHDRAWALS	$0.00	$346,859.28
Income and Expenses		
Taxable Income		
Taxable Dividends	$1,744.45	$24,834.50
Taxable Interest	$22,591.84	$158,900.75
NET TAXABLE INCOME	$24,336.29	$183,735.25
Non-Taxable Income		
Return of Principal	$0.00	$34,357.94
NET NON-TAXABLE INCOME	$0.00	$34,357.94
NET INCOME AND EXPENSES	$24,336.29	$218,093.19
NET MISCELLANEOUS ACTIVITY	$0.00	($15.00)
ENDING BALANCE	$179,608.50	

ALERT: Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in January of the subsequent year.

PORTFOLIO ALLOCATION

Cash and Cash Equivalents	55.67%
Equities	13.66%
Fixed Income	30.67%

Allocations for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions

Account carried with National Financial Services LLC, Member NYSE, SIPC
See last page for important information about your brokerage account and this statement.

SUMMARY

REALIZED GAIN (LOSS)	This Period	Year-to-Date
Short-Term Gain	$12,440.58	$107,615.23
Short-Term Loss	$8,051.04	$12,947.91
Short-Term Disallowed Loss	$0.00	$0.00
NET SHORT-TERM	**$4,389.54**	**$94,667.32**
Long-Term Gain	$0.00	$40,200.58
Long-Term Loss	$0.00	$0.00
Long-Term Disallowed Loss	$0.00	$0.00
NET LONG-TERM	**$0.00**	**$40,200.58**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. Cost basis of securities may be adjusted in the future for subsequent events.

2877

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

PORTFOLIO VALUE

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion

CASH AND CASH EQUIVALENTS 55.67%

Description	Symbol/Cusip Account Type	Quantity	Price on 08/31/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income
Cash						
NET CASH POSITION				$179,608.50	$238,419.00 (24.67%)	
Money Markets						
PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 2.76% Dividend Option Reinvest	FPRXX CASH	857,377.74	$1.00	$857,377.74	$568,235.18 50.86%	
Total Cash and Cash Equivalents				**$1,036,986.24**		

EQUITIES 13.66%

Description	Symbol/Cusip Account Type	Quantity	Price on 08/31/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
JUST FOR FEET INC Dividend Option Reinvest	FEETQ SHORT	(10,000)	$0.005	($50.00)	($50.00) 0.00%		$0.00	$0.00
INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	ICIXP CASH	200	$1,075.00	$215,000.00	$215,000.00 0.00%		$213,500.00	$1,500.00
LOEHMANNS HLDGS INC	LHMS MARGIN	5,059	$7.80	$39,460.20	$61,213.90 (35.54%)		$0.00	$0.00
Total Equities				**$254,410.20**				

Account carried with National Financial Services LLC, Member NYSE, SIPC

2878

DETAIL

FIXED INCOME 30.67%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 08/31/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Corporate Bonds								
GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003 Estimated Yield 7.89% Next Interest Payable: 09/15/01	382550AF8 SHORT	(100,000)	$102.965	($102,965.00)	($103,121.00) (0.15%)	$8,125.00	$98,885.35	($4,079.65)
GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004 Estimated Yield 52.77% Next Interest Payable: 02/15/02	378383AK0 CASH	555,000	$4.50	$24,975.00	$22,200.00 12.50%	$63,131.25	$33,420.00	($8,445.00)
LOEWMANNS HLDGS SR NOTE 11.00% 12/31/2005 Estimated Yield 13.66%	540411AD7 MARGIN	204,100	$80.50	$164,300.50	$163,280.00 0.63%	$22,451.00	$0.00	$0.00
FEDERAL MOGUL CORP NTS 7.75% 07/01/2006 MAKE WHOLE CALL Estimated Yield 55.35% Next Interest Payable: 01/01/02	313549AL1 CASH	500,000	$14.00	$70,000.00	$70,000.00 0.00%	$38,750.00	$76,250.00	($6,250.00)
COMDISCO INC NTS 6.13% 08/01/2006 Estimated Yield 7.36% Next Interest Payable: 02/01/02	200336AS4 CASH	250,000	$83.00	$207,500.00	$205,625.00 0.91%	$15,325.00	$198,750.00	$8,750.00
TULTEX CORP SR NT 9.625% 04/15/2007 Next Interest Payable: 10/15/01	899900AC8 CASH	800,000	$0.00001	$0.08	$0.08 0.00%	$77,000.00	$127,842.08	($127,641.96)
PSINET INC SR NOTES 11.00% 08/01/2009 Estimated Yield 57.14% Next Interest Payable: 02/01/02	69363VAB3 MARGIN	500,000	$7.00	$35,000.00	$27,500.00 27.27%	$55,000.00	$50,000.00	($15,000.00)

2879

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

FIXED INCOME 30.67%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 08/31/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
NORTHPOINT COMM SENIOR NOTES 12.875% 02/15/2010 Estimated Yield 81.74% Next Interest Payable: 02/15/02	666610AB8 CASH	1,000,000	$15.75	$157,500.00	$90,000.00 96.88%	$128,750.00	$88,800.00	$68,700.00
WINSTAR COMM SR NOTES 12.75% 04/15/2010 Next Interest Payable: 10/15/01	975515AX5 CASH	2,000,000	$0.75	$15,000.00	$12,500.00 20.00%	$255,000.00	$45,000.00	($30,000.00)
Total Fixed Income				**$571,310.58**				
Total Securities				**$825,720.78**				
TOTAL PORTFOLIO VALUE				**$1,862,707.02**				

ACCOUNT ACTIVITY

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

TRADING

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
08/01/01	CASH	YOU BOUGHT	BENEDEK COMMUNICATIONS PFD 1 1.50% 05/15/2008 ACTED AS PRINCIPAL @ 280	1,000	($280,000.00)	$280,000.00	$0.00
08/03/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	38,063.25	($38,063.25)		

Account carried with National Financial Services LLC, Member NYSE, SIPC

2880

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
08/06/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	334,748.29	($334,748.29)		
08/08/01	SHORT	YOU BOUGHT	METALS USA INC SR NT 8.625% 02/15/2006 SHORT COVER ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 66 Short-term loss $3,051.04	100,000	($70,144.79)	$62,093.75	$8,051.04
08/08/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1.5	($1.50)		
08/15/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	54	($54.00)		
08/16/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	114	($114.00)		
08/20/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	112,714.84	($112,714.84)		
08/21/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	35	($35.00)		
08/22/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	336	($336.00)		
08/23/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	48	($48.00)		
08/27/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	34.5	($34.50)		
08/28/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	22.5	($22.50)		
08/31/01	CASH	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	1,744.45	($1,744.45)		
Net Securities Purchased					**($838,062.12)**		

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
08/01/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(163,007.75)	$163,007.75		
08/02/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(35,162.5)	$35,162.50		
08/03/01	MARGIN	YOU SOLD	LUCENT TECH DEB 6.45% 03/15/2029 CORR MARKET/BLOTTER CORRECTED CONFIRM @ 65 Short-term gain $4,950.00	(250,000)	$168,831.25	$157,500.00	$4,950.00
08/06/01	CASH	YOU SOLD	BENEDEK COMMUNICATIONS PFD 1 1.50% 05/15/2008 CORR BLOTTER CORRECTED CONFIRM @ 282.50 Short-term gain $2,440.58	(1,000)	$282,440.58	$280,000.00	$2,440.58
08/07/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(51)	$51.00		
08/09/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(105)	$105.00		
08/10/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(97.5)	$97.50		
08/13/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(16.5)	$16.50		
08/14/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(78)	$78.00		
08/17/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(28.5)	$28.50		
08/20/01	CASH	YOU SOLD	WILLIAMS COMM GRP SR NOTES 11.875% 08/01/2010 ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 44.50 Short-term gain $10,000.00	(250,000)	$112,816.84	$101,250.00	$10,000.00
08/24/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(18)	$18.00		

2882

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
08/29/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(64.5)	$64.50		
08/30/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(73.5)	$73.50		
08/31/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(72)	$72.00		
Net Securities Sold					$762,663.42		
NET TRADING					($83,146.79)		

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
08/31/01	CASH	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		$1,744.45
Taxable Interest					
08/01/01	CASH	INTEREST	WILLIAMS COMM GRP SR NOTES 11.875% 08/01/2010		$14,843.75
Total Corporate Accrued Interest Earned					$7,748.09
Net Taxable Income					$24,336.29
NET INCOME AND EXPENSES					$24,336.29

Account carried with National Financial Services LLC, Member NYSE, SIPC

2883

DETAIL

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount
08/03/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($359.00)
08/03/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$359.00
08/10/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($2,277.79)
08/10/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$2,277.79
08/24/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($230.00)
08/24/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$230.00
08/31/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($102.00)
08/31/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$102.00
NET MISCELLANEOUS ACCOUNT ACTIVITY					$0.00

INTERESTED PARTIES INFORMATION

Copies of this statement have been sent to :

MR. STEPHEN LOWEY
105 BEVERLY ROAD
RYE NY 10580

MESSAGES

AT PRESENT, CERTIFICATES OF DEPOSIT (CDS) ARE SHOWN AT FACE VALUE ON YOUR STATEMENT. EFFECTIVE THE QUARTER ENDING SEPTEMBER 2001, CDS HAVING A MATURITY DATE EXCEEDING ONE YEAR FROM THE DATE OF ISSUE WILL BE SHOWN ON YOUR STATEMENT AT A MARKET VALUE THAT HAS BEEN OBTAINED FROM A THIRD PARTY SOURCE. IF WE ARE UNABLE TO OBTAIN A VALUE, "UNAVAILABLE" WILL APPEAR INSTEAD OF A DOLLAR VALUE FOR THAT CD.

2884

Account carried with National Financial Services LLC, Member NYSE, SIPC

010928 280 001112848
BROWNSTONE INVESTMENT GROUP
900 THIRD AVENUE - SUITE 1002
NEW YORK, NY 10022

Account Number:NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY
RR#: 100

FOR QUESTIONS OR UP-TO-DATE ACCOUNT INFORMATION:
Local 212 750 9555

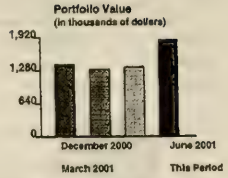
Statement Date: 09/01/01 to 09/30/01

SNAPSHOT

TOTAL PORTFOLIO
$1,897,249.50

PORTFOLIO VALUE	This Period	Prior Period	% Change
Cash and Cash Equivalents	$1,343,324.47	$1,036,986.24	29.54
Securities	$553,925.03	$825,720.78	(32.92)
TOTAL PORTFOLIO VALUE	**$1,897,249.50**	**$1,862,707.02**	**1.85**

Cash and Cash Equivalents will include margin debit and credit balances.



A portfolio value less than "0" will not be displayed.

ACCOUNT ACTIVITY	This Period	Year-To-Date
Net Trading	$510,427.84	($530,442.38)
Net Additions and Withdrawals	($4,487.50)	$342,371.76
Net Income and Expenses	$16,817.58	$236,910.77
Net Miscellaneous Activity	$0.00	($15.00)

MARGIN PROFILE	This Period
Margin Balance	($362,674.92)
Equity Buying Power	$0.00
Available to Withdraw	$0.00
Available to Borrow	$0.00

Balances and margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed.

LEGEND
( ) Numbers in parentheses are debits or subtractions
NFS = National Financial Services LLC

Account carried with National Financial Services LLC, Member NYSE, SIPC

2885

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: 09/01/2001 to 09/30/2001

SUMMARY

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents		
Cash	$704,366.42	$179,608.50
Money Markets	$638,958.05	$857,377.74
Securities		
Equities		
Equity	$193,365.95	$254,410.20
Fixed Income		
Corporate Bonds	$360,559.08	$571,310.58
Total Securities	$553,925.03	$825,720.78
TOTAL PORTFOLIO VALUE	$1,897,249.50	$1,862,707.02

ACCOUNT ACTIVITY	This Period	Year-To-Date
BEGINNING BALANCE	$179,608.50	
Trading		
Securities Purchased	($41,471.58)	($3,724,465.25)
Securities Sold	$556,936.92	$3,239,967.15
Less Total Accrued Interest Earned	($6,037.50)	($45,944.28)
NET TRADING	$510,427.84	($530,442.38)
Additions and Withdrawals		
Deposits	$0.00	$400,000.00
Other Additions and Withdrawals	($4,487.50)	($57,628.22)
NET ADDITIONS AND WITHDRAWALS	($4,487.50)	$342,371.78
Income and Expenses		
Taxable Income		
Taxable Dividends	$1,780.08	$26,614.58
Taxable Interest	$5,037.50	$163,938.25
NET TAXABLE INCOME	$6,817.58	$190,552.83
Non-Taxable Income		
Return of Principal	$12,000.00	$46,357.94
NET NON-TAXABLE INCOME	$12,000.00	$46,357.94
NET INCOME AND EXPENSES	$18,817.58	$236,910.77
NET MISCELLANEOUS ACTIVITY	$0.00	($15.00)
ENDING BALANCE	$704,366.42	

ALERT: Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in January of the subsequent year.

PORTFOLIO ALLOCATION

Cash and Cash Equivalents	70.80%
Equities	10.20%
Fixed Income	19.00%

Allocations for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

2886

Account carried with National Financial Services LLC, Member NYSE, SIPC
See last page for important information about your brokerage account and this statement.

SUMMARY

REALIZED GAIN (LOSS)	This Period	Year-to-Date
Short-Term Gain	$28,165.70	$135,780.93
Short-Term Loss	$0.00	$12,947.91
Short-Term Disallowed Loss	$0.00	$0.00
NET SHORT-TERM	**$28,165.70**	**$122,833.02**
Long-Term Gain	$0.00	$40,200.58
Long-Term Loss	$0.00	$0.00
Long-Term Disallowed Loss	$0.00	$0.00
NET LONG-TERM	**$0.00**	**$40,200.58**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. Cost basis of securities may be adjusted in the future for subsequent events.

2887

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

PORTFOLIO VALUE

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

CASH AND CASH EQUIVALENTS 70.80%

Description	Symbol/Cusip Account Type	Quantity	Price on 09/30/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income
Cash						
NET CASH POSITION				$704,386.42	$179,608.50 292.17%	
Money Markets						
PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 2.51% Dividend Option Reinvest	FPRXX CASH	638,958.05	$1.00	$638,958.05	$857,377.74 (25.48%)	
Total Cash and Cash Equivalents				$1,343,324.47		

EQUITIES 10.20%

Description	Symbol/Cusip Account Type	Quantity	Price on 09/30/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
JUST FOR FEET INC Dividend Option Reinvest	FEETQ SHORT	(10,000)	$0.005	($50.00)	($50.00) 0.00%		$0.00	$0.00
INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	ICIXP CASH	200	$1,075.00	$215,000.00	$215,000.00 0.00%		$213,500.00	$1,500.00
LOEHMANNS HLDGS INC	LHMS MARGIN	5,059	$7.05	$35,665.95	$39,460.20 (9.62%)		$0.00	$0.00

2888

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

EQUITIES 10.20%

Description	Symbol/Cusip Account Type	Quantity	Price on 09/30/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
WINN DIXIE STORES Estimated Yield 2.96% Dividend Option Reinvest Next Dividend Payable: 10/01/01	WIN SHORT	(5,000)	$11.45	($57,250.00)	$0.00 100.00%	$1,700.00	$114,008.15	$56,758.15
Total Equities				$193,365.95				

FIXED INCOME 19.00%

For an explanation of fixed income pricing, please see the last page

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 09/30/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Corporate Bonds								
GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003 Next Interest Payable: 03/15/02	382550AF8 SHORT	(100,000)	$102.74	($102,740.00)	($102,885.00) (0.22%)	$8,125.00	$98,885.35	($3,854.65)
GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004 Next Interest Payable: 02/15/02	378963AK0 CASH	555,000	$4.00	$22,200.00	$24,975.00 (11.11%)	$63,131.25	$33,420.00	($11,220.00)
LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7 MARGIN	204,100	$81.00	$165,321.00	$164,300.50 0.62%	$22,451.00	$0.00	$0.00
FEDERAL MOGUL CORP NTS 7.75% 07/01/2006 MAKE WHOLE CALL Next Interest Payable: 01/01/02	313549AL1 CASH	500,000	$7.50	$37,500.00	$70,000.00 (46.43%)	$38,750.00	$76,250.00	($38,750.00)
COMDISCO INC NTS 6.13% 08/01/2006 Next Interest Payable: 02/01/02	200338AS4 CASH	250,000	$72.00	$180,000.00	$207,500.00 (13.25%)	$15,325.00	$196,750.00	($16,750.00)
GATX CAP CORP NTS 7.75% 12/01/2006 Next Interest Payable: 12/01/01	361446AC1 SHORT	(200,000)	$85.861	($171,722.00)	$0.00 100.00%	$15,500.00	$183,037.50	$11,315.50

Account carried with National Financial Services LLC, Member NYSE, SIPC

2889

DETAIL

FIXED INCOME 19.00%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 09/30/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
TULTEX CORP SR NT 9.625% 04/15/2007 Next Interest Payable: 10/15/01	899900AC8 CASH	500,000	$0.00001	$0.05	$0.05 0.00%	$77,000.00	$115,642.06 C	($115,641.98)
PSINET INC SR NOTES 11.00% 08/01/2009 Next Interest Payable: 02/01/02	69383VAB3 MARGIN	500,000	$6.00	$30,000.00	$35,000.00 (14.29%)	$55,000.00	$50,000.00	($20,000.00)
NORTHPOINT COMM SENIOR NOTES 12.875% 02/15/2010 Next Interest Payable: 02/15/02	668610AB6 CASH	1,000,000	$18.00	$180,000.00	$157,500.00 14.29%	$128,750.00	$88,800.00	$91,200.00
WINSTAR COMM SR NOTES 12.75% 04/15/2010 Next Interest Payable: 10/15/01	975515AX5 CASH	2,000,000	$1.00	$20,000.00	$15,000.00 33.33%	$255,000.00	$45,000.00	($25,000.00)
Total Fixed Income				**$360,559.08**				
Total Securities				**$553,925.03**				
TOTAL PORTFOLIO VALUE				**$1,897,249.50**				

ACCOUNT ACTIVITY

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

TRADING

Account carried with National Financial Services LLC, Member NYSE, SIPC

2890

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: 09/01/2001 to 09/30/2001

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
09/04/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	111	($111.00)
09/07/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	17,184	($17,184.00)
09/10/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	7,707	($7,707.00)
09/12/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	2,061	($2,061.00)
09/17/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	27	($27.00)
09/19/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,238	($1,238.00)
09/20/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	4,292.8	($4,292.80)
09/21/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,663.5	($1,663.50)
09/24/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	5,407.5	($5,407.50)
09/28/01	CASH	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	1,780.08	($1,780.08)
Net Securities Purchased					**($41,471.58)**

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
09/05/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(38,165.35)	$38,165.35		
09/06/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(3,424.5)	$3,424.50		
09/07/01	SHORT	YOU SOLD	WINN DIXIE STORES SHORT SALE @ 22.80	(1,800)	$41,038.62	$41,038.62	$0.00

Account carried with National Financial Services LLC, Member NYSE, SIPC

Account Number: NW7-000060
Account Name: LOWEYF
Statement Date: 09/01/2001 to 09/30/2001

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
09/07/01	SHORT	YOU SOLD	WINN DIXIE STORES SHORT SALE @ 22.81	(3,200)	$72,959.53	$72,959.53	$0.00
09/14/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(828.5)	$828.50		
09/18/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(1,430.5)	$1,430.50		
09/25/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(4,228.5)	$4,228.50		
09/26/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(118,464.14)	$118,464.14		
09/27/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(66,102.64)	$66,102.64		
09/28/01	SHORT	YOU SOLD	GATX CAP CORP NTS 7.75% 12/01/2006 SHORT SALE ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 89	(200,000)	$183,037.50	$183,037.50	$0.00
09/28/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(27,447.14)	$27,447.14		
Net Securities Sold					**$558,936.92**		

NET TRADING **$510,427.84**

ADDITIONS AND WITHDRAWALS

Other Additions and Withdrawals

Date	Account Type	Transaction	Description	Quantity	Amount
09/14/01	SHORT	DIVIDEND CHARGED	WINN DIXIE STORES		($425.00)

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Other Additions and Withdrawals

Date	Account Type	Transaction	Description	Quantity	Amount
09/15/01	SHORT	INTEREST CHARGED	GOODYEAR TIRE & RUB NTS 8.125% 03/15/2003		($4,062.50)
Net Other Additions and Withdrawals					**($4,487.50)**
NET ADDITIONS AND WITHDRAWALS					**($4,487.50)**

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
09/28/01	CASH	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		$1,780.08
Taxable Interest					
Total Corporate Accrued Interest Earned					$5,037.50
Net Taxable Income					**$6,817.58**

Non-Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Return of Principal					
09/07/01	CASH	PRINCIPAL PAYMENT	TULTEX CORP SR NT 9.625% 04/15/2007		$12,000.00
Net Non-Taxable Income					**$12,000.00**
NET INCOME AND EXPENSES					**$18,817.58**

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount
09/07/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($193.00)
09/07/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$193.00
09/14/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($9,296.15)
09/14/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$9,296.15
09/21/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($3,079.50)
09/21/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$3,079.50
09/28/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($41,377.00)
09/28/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$41,377.00
NET MISCELLANEOUS ACCOUNT ACTIVITY					**$0.00**

TRADES PENDING SETTLEMENT

These trades settle after the closing date of this statement and will be reflected on your next statement.

Trade Date	Settlement Date	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
09/26/01	10/01/01	SOLD SHORT	W NN-DIXIE STORES IN SENIOR NOTE 8.875% 04/01/2008 SHORT SALE ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM	(200,000)	$194,000.00	$194,000.00	$0.00
09/26/01	10/03/01	BOUGHT	WINN DIXIE STORES SHORT COVER	1,500	($17,285.00)	$34,201.47	$16,916.47
09/28/01	10/03/01	BOUGHT	WINN DIXIE STORES SHORT COVER	1,000	($11,550.00)	$22,799.23	$11,249.23
Net Trades Pending Settlement					**$165,165.00**		

FOOTNOTE AND COST BASIS INFORMATION

Cost basis and gain(loss) information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time the statement is issued. The information may not reflect all adjustments or reportable transactions that are required for tax purposes and may not be accurate for tax reporting purposes. It is not a substitute for your own tax records. If you have any questions about your specific tax situation, please consult your tax advisor. Cost basis information is not adjusted for investments in Master Limited Partnerships (MLPs). In order to calculate basis for MLPs, you will need supplemental information from the partnership related to the income and distributions during the period you held your investment.

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

FOOTNOTE AND COST BASIS INFORMATION

C - This information has been provided by you, the customer. Your Broker/Dealer and NFS, are not responsible for its accuracy.

INTERESTED PARTIES INFORMATION

Copies of this statement have been sent to :

MR. STEPHEN LOWEY
105 BEVERLY ROAD
RYE NY 10580

MESSAGES

AT PRESENT, CERTIFICATES OF DEPOSIT (CDS) ARE SHOWN AT FACE VALUE ON YOUR STATEMENT. EFFECTIVE THE QUARTER ENDING SEPTEMBER 2001, CDS HAVING A MATURITY DATE EXCEEDING ONE YEAR FROM THE DATE OF ISSUE WILL BE SHOWN ON YOUR STATEMENT AT A MARKET VALUE THAT HAS BEEN OBTAINED FROM A THIRD PARTY SOURCE. IF WE ARE UNABLE TO OBTAIN A VALUE, "UNAVAILABLE" WILL APPEAR INSTEAD OF A DOLLAR VALUE FOR THAT CD.

Account carried with National Financial Services LLC, Member NYSE, SIPC

011031 280 001053378
BROWNSTONE INVESTMENT GROUP
THROUGH THE COURTESY OF
WALL STREET FINANCIAL
900 THIRD AVENUE, SUITE 1002
NEW YORK, NY 10022

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY
RR#: 100

FOR QUESTIONS OR UP-TO-DATE ACCOUNT INFORMATION:
Local 212 750 9555

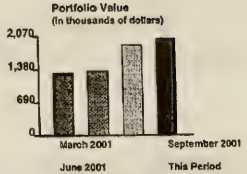
Statement Date: 10/01/01 to 10/31/01

SNAPSHOT

TOTAL PORTFOLIO
$2,042,836.39

PORTFOLIO VALUE	This Period	Prior Period	% Change
Cash and Cash Equivalents	$1,194,201.61	$1,343,324.47	(11.10)
Securities	$848,634.78	$553,925.03	53.20
TOTAL PORTFOLIO VALUE	**$2,042,836.39**	**$1,897,249.50**	**7.67**

Cash and Cash Equivalents will include margin debit and credit balances.



A portfolio value less than "0" will not be displayed.

ACCOUNT ACTIVITY	This Period	Year-To-Date
Net Trading	($94,584.16)	($625,026.54)
Net Additions and Withdrawals	$698.50	$343,060.28
Net Income and Expenses	$36,124.24	$273,036.01
Net Miscellaneous Activity	$0.00	($15.00)

MARGIN PROFILE	This Period
Margin Balance	($308,906.50)
Equity Buying Power	$0.00
Available to Withdraw	$0.00
Available to Borrow	$0.00

Balances and margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed.

LEGEND
( ) Numbers in parentheses are debits or subtractions
NFS = National Financial Services LLC

Account carried with National Financial Services LLC, Member NYSE, SIPC

2896

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: 10/01/2001 to 10/31/2001

SUMMARY

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents		
Cash	$646,595.00	$704,366.42
Money Markets	$547,606.61	$638,958.05
Securities		
Equities		
Equity	$250,742.20	$193,365.95
Fixed Income		
Corporate Bonds	$597,892.58	$360,559.08
Total Securities	**$848,634.78**	**$553,925.03**
TOTAL PORTFOLIO VALUE	**$2,042,836.39**	**$1,897,249.50**

ACCOUNT ACTIVITY	This Period	Year-To-Date
BEGINNING BALANCE	$704,366.42	
Trading		
Securities Purchased	($926,123.70)	($4,650,588.95)
Securities Sold	$956,577.74	$4,105,544.89
Less Total Accrued Interest Earned	($35,038.20)	($80,982.48)
NET TRADING	($94,584.16)	($625,026.54)
Additions and Withdrawals		
Deposits	$0.00	$400,000.00
Other Additions and Withdrawals	$688.50	($56,939.72)
NET ADDITIONS AND WITHDRAWALS	$688.50	$343,060.28
Income and Expenses		
Taxable Income		
Taxable Dividends	$1,086.04	$27,700.62
Taxable Interest	$35,038.20	$198,976.45
NET TAXABLE INCOME	$36,124.24	$226,677.07
Non-Taxable Income		
Return of Principal	$0.00	$46,357.94
NET NON-TAXABLE INCOME	$0.00	$46,357.94
NET INCOME AND EXPENSES	$36,124.24	$273,035.01
NET MISCELLANEOUS ACTIVITY	$0.00	($15.00)
ENDING BALANCE	$646,595.00	

ALERT: Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in January of the subsequent year.

PORTFOLIO ALLOCATION

Cash and Cash Equivalents	58.46%
Equities	12.27%
Fixed Income	29.27%

Allocations for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

2897

Account carried with National Financial Services LLC Member NYSE, SIPC
See last page for important information about your brokerage account and this statement.

SUMMARY

REALIZED GAIN (LOSS)	This Period	Year-to-Date
Short-Term Gain	$104,393.96	$240,174.89
Short-Term Loss	$47,641.50	$60,589.41
Short-Term Disallowed Loss	$0.00	$0.00
NET SHORT-TERM	**$56,752.46**	**$179,585.48**
Long-Term Gain	$0.00	$40,200.58
Long-Term Loss	$0.00	$0.00
Long-Term Disallowed Loss	$0.00	$0.00
NET LONG-TERM	**$0.00**	**$40,200.58**

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. Cost basis of securities may be adjusted in the future for subsequent events.

2898

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

PORTFOLIO VALUE

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

CASH AND CASH EQUIVALENTS 58.46%

Description	Symbol/Cusip Account Type	Quantity	Price on 10/31/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income
Cash						
NET CASH POSITION				$646,895.00	$704,366.42 (8.20%)	
Money Markets						
PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 1.97% Dividend Option Reinvest	FPRXX CASH	547,606.61	$1.00	$547,606.61	$638,958.05 (14.30%)	
Total Cash and Cash Equivalents				**$1,194,201.61**		

EQUITIES 12.27%

Description	Symbol/Cusip Account Type	Quantity	Price on 10/31/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
JUST FOR FEET INC Dividend Option Reinvest	FEETQ SHORT	(10,000)	$0.005	($50.00)	($50.00) 0.00%			
INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	ICIXP CASH	206	$1,075.00	$221,450.00	$215,000.00 3.00%		$213,500.00	$7,950.00
LOEHMANNS HLDGS INC	LHMS MARGIN	5,059	$5.50	$29,342.20	$35,665.95 (17.73%)			
Total Equities				**$250,742.20**				

Account carried with National Financial Services LLC, Member NYSE, SIPC

2899

DETAIL

FIXED INCOME 29.27%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 10/31/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Corporate Bonds								
GOODYEAR TIRE & RUB NTS 6.125% 03/15/2003 Next Interest Payable: 03/15/02	382550AF8 SHORT	(100,000)	$103.155	($103,155.00)	($102,740.00) 0.40%	$8,125.00	$98,885.35	($4,269.65)
GLOBALSTAR LP/CAP SR NTS 11.375% 02/15/2004	379363AK0 CASH	535,000	$8.50	$47,175.00	$22,200.00 112.50%		$33,420.00	$13,755.00
LOEHMANNS HLDGS SR NOTE 11.00% 12/31/2005	540411AD7 MARGIN	204,100	$78.00	$159,198.00	$165,321.00 (3.70%)	$22,451.00		
FEDERAL MOGUL CORP NTS 7.75% 07/01/2006 MAKE WHOLE CALL	313549AL1 CASH	500,000	$10.50	$52,500.00	$37,500.00 40.00%		$76,250.00	($23,750.00)
COMDISCO INC NTS 6.13% 08/01/2006 Next Interest Payable: 02/01/02	200336AS4 CASH	250,000	$81.50	$203,750.00	$180,000.00 13.19%	$15,325.00	$198,750.00	$5,000.00
GATX CAP CORP NTS 7.75% 12/01/2006 Next Interest Payable: 12/01/01	361448AC1 SHORT	(50,000)	$86.151	($43,075.50)	($171,722.00) (74.92%)	$3,875.00	$45,759.37	$2,683.87
TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8 CASH	800,000	$0.00001	$0.08	$0.08 0.00%		$115,642.06 C	($115,641.98)
FOCAL COMM CORP SR DISC NTS 12.125% 02/15/2008 Next Interest Payable: 02/15/02	344155AC0 CASH	750,000	$27.00	$202,500.00	$0.00 100.00%	$30,937.50	$145,775.00	$56,725.00
WINN-DIXIE STORES IN SENIOR NOTE 8.875% 04/01/2008 Next Interest Payable: 04/01/02	974280AB5 SHORT	(200,000)	$95.75	($191,500.00)	$0.00 100.00%	$17,750.00	$194,000.00	$2,500.00

2900

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

FIXED INCOME 29.27%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 10/31/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
PSINET INC SR NOTES 11.00% 08/01/2009 Next Interest Payable: 02/01/02	69363VAB3 MARGIN	500,000	$7.00	$35,000.00	$30,000.00 16.67%	$55,000.00	$50,000.00	($15,000.00)
METROMEDIA FIBER SR NOTES 10.00% 12/15/2009 Next Interest Payable: 12/15/01	591689AE4 CASH	150,000	$22.00	$33,000.00	$0.00 100.00%	$15,000.00	$28,257.00	$6,743.00
NORTHPOINT COMM SENIOR NOTES 12.875% 02/15/2010 Next Interest Payable: 02/15/02	666810AB6 CASH	1,000,000	$19.00	$190,000.00	$180,000.00 5.56%	$128,750.00	$88,800.00	$101,200.00
WINSTAR COMM SR NOTES 12.75% 04/15/2010 Next Interest Payable: 04/15/02	975515AX5 CASH	2,000,000	$0.625	$12,500.00	$20,000.00 (37.50%)	$255,000.00	$45,000.00	($32,500.00)
Total Fixed Income				$597,892.58				
Total Securities				$848,634.78				
TOTAL PORTFOLIO VALUE				$2,042,836.39				

ACCOUNT ACTIVITY

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

TRADING

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/03/01	SHORT	YOU BOUGHT	WINN DIXIE STORES SHORT COVER @ 11.55 Short-term gain $11,249.23	1,000	($11,550.00)	$22,799.23	$11,249.23
10/03/01	SHORT	YOU BOUGHT	WINN DIXIE STORES SHORT COVER @ 11.51 Short-term gain $16,916.47	1,500	($17,285.00)	$34,201.47	$16,916.47
10/05/01	CASH	YOU BOUGHT	METROMEDIA FIBER SR NOTES 10.00% 12/15/2005 CORR MARKET/BLOTTER CORRECTED CONFIRM @ 17.50	750,000	($154,201.67)	$131,285.00	$0.00
10/08/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	81,597.32	($81,597.32)		
10/09/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,400	($1,400.00)		
10/10/01	SHORT	YOU BOUGHT	MCLEODUSA INC SENIOR NOTES 11.375% 01/01/2009 @ 20.8125 Short-term gain $10,179.51	250,000	($59,890.56)	$70,070.07	$10,179.51
10/10/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	125,501.28	($125,501.28)		
10/11/01	SHORT	YOU BOUGHT	GATX CAP CORP NTS 7.75% 12/01/2006 SHORT COVER CORR MARKET/BLOTTER CORRECTED CONFIRM @ 84.50 Short-term gain $2,071.07	50,000	($43,688.31)	$45,759.38	$2,071.07
10/11/01	SHORT	YOU BOUGHT	MCLEODUSA INC SENIOR NOTES 11.375% 01/01/2009 SHORT COVER CORR MARKET/BLOTTER CORRECTED CONFIRM @ 18 Short-term gain $17,131.76	250,000	($52,930.31)	$70,070.07	$17,131.76
10/11/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	30,058.72	($30,058.72)		
10/12/01	SHORT	YOU BOUGHT	WINN DIXIE STORES SHORT COVER @ 11.34 Short-term gain $1,142.30	100	($1,138.00)	$2,280.30	$1,142.30

Account carried with National Financial Services LLC, Member NYSE, SIPC

2902

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/12/01	SHORT	YOU BOUGHT	WINN DIXIE STORES SHORT COVER @ 11.36 Short-term gain $27,393.15	2,400	($27,334.00)	$54,727.15	$27,393.15
10/15/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	28,958.24	($28,958.24)		
10/16/01	SHORT	YOU BOUGHT	GATX CAP CORP NTS 7.75% 12/01/2006 SHORT COVER CORR QUANTITY CORRECTED CONFIRM @ 86.25 Short-term loss $47,641.50	100,000	($139,180.25)	$91,518.75	($47,661.50)
10/19/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	3,907.5	($3,907.50)		
10/23/01	CASH	YOU BOUGHT	FOCAL COMM CORP SR DISC NTS 12.125% 02/15/2008 CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 19.43	750,000	($145,775.00)	$145,775.00	$0.00
10/24/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	112.5	($112.50)		
10/29/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	1,937	($1,937.00)		
10/31/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	604	($604.00)		
10/31/01	CASH	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	1,068.04	($1,068.04)		
Net Securities Purchased					($928,123.70)		

Account carried with National Financial Services LLC, Member NYSE, SIPC

2903

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: **10/01/2001 to 10/31/2001**

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/01/01	SHORT	YOU SOLD	WINN-DIXIE STORES IN SENIOR NOTE 8.875% 04/01/2008 SHORT SALE ACTED AS PRINCIPAL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 97	(200,000)	$194,000.00	$194,000.00	$0.00
10/03/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(79,121.94)	$79,121.94		
10/05/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(154,201.87)	$154,201.87		
10/09/01	SHORT	YOU SOLD	MCLEODUSA INC SENIOR NOTES 11.375% 01/01/2009 SHORT SALE CORR MARKET/BLOTTER CORRECTED CONFIRM @ 24.9365	(500,000)	$140,140.14	$140,140.14	$0.00
10/10/01	CASH	YOU SOLD	METROMEDIA FIBER SR NOTES 10.00% 12/15/2009 @ 25 Short-term gain $29,942 33	(400,000)	$112,738.78	$70,018.67	$29,942.33
10/11/01	CASH	YOU SOLD	METROMEDIA FIBER SR NOTES 10.00% 12/15/2009 CORR MARKET/BLOTTER CORRECTED CONFIRM @ 25.125 Short-term gain $7,581 33	(100,000)	$28,308.22	$17,504.67	$7,581 33
10/12/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(2,091.99)	$2,091.99		
10/16/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(4,279.5)	$4,279.50		
10/17/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(1,470.25)	$1,470.25		
10/18/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(141.25)	$141.25		
10/22/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(3,585)	$3,585.00		

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/23/01	CASH	YOU SOLD	METROMEDIA FIBER SR NOTES 10.00% 12/15/2009 CORR PRICE ERROR CORRECTED CONFIRM @ 23.375 Short-term gain $5,816.34	(100,000)	$26,876.56	$17,504.66	$5,816.34
10/23/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(116,882.44)	$116,882.44		
10/25/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(2,182)	$2,182.00		
10/26/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(297.5)	$297.50		
10/30/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(260.5)	$260.50		
Net Securities Sold					$866,577.74		
NET TRADING					($94,584.16)		

ADDITIONS AND WITHDRAWALS

Other Additions and Withdrawals

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/01/01	CASH	DISTRIBUTION	INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	6	$0.00		
10/17/01	CASH	IN LIEU OF FRX SHARE	INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %		($689.25)		
10/17/01	CASH	IN LIEU OF FRX SHARE	INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %		$689.25		

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Other Additions and Withdrawals

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/18/01	CASH	IN LIEU OF FRX SHARE	INTERMEDIA COMMS INC PFD SER B EXCH 13 50 % Short-term gain $688 50		$688.50	$0.00	$688 50
Net Other Additions and Withdrawals					**$688.50**		
NET ADDITIONS AND WITHDRAWALS					**$688.50**		

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
10/31/01	CASH	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		$1,086 04
Taxable Interest					
Total Corporate Accrued Interest Earned					$35,038.20
Net Taxable Income					**$36,124.24**
NET INCOME AND EXPENSES					**$36,124.24**

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount
10/05/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($18,642.50)
10/05/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$18,642.50
10/12/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($25,983.46)
10/12/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$25,983.46
10/18/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($57,487.75)
10/19/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$57,487.75
10/26/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($1,979.50)

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount
10/26/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$1,979.50
NET MISCELLANEOUS ACCOUNT ACTIVITY					**$0.00**

TRADES PENDING SETTLEMENT

These trades settle after the closing date of this statement and will be reflected on your next statement.

Trade Date	Settlement Date	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/29/01	11/01/01	SOLD	METROMEDIA FIBER SR NOTES 10.00% 12/15/2009 CORR MARKET/BLOTTER CORRECTED CONFIRM Short-term gain $2,447.67	(50,000)	$13,088.89	$8 752.33	$2,447.67
Net Trades Pending Settlement					**$13,088.89**		

FOOTNOTE AND COST BASIS INFORMATION

Cost basis and gain(loss) information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time the statement is issued. The information may not reflect all adjustments or reportable transactions that are required for tax purposes and may not be accurate for tax reporting purposes. It is not a substitute for your own tax records. If you have any questions about your specific tax situation, please consult your tax advisor. Cost basis information is not adjusted for investments in Master Limited Partnerships (MLPs). In order to calculate basis for MLPs, you will need supplemental information from the partnership related to the income and distributions during the period you held your investment

C - This information has been provided by you, the customer. Your Broker/Dealer and NFS, are not responsible for its accuracy.

INTERESTED PARTIES INFORMATION

Copies of this statement have been sent to :

MR. STEPHEN LOWEY
105 BEVERLY ROAD
RYE NY 10580

Account carried with National Financial Services LLC, Member NYSE, SIPC

011130 280 001093015
BROWNSTONE INVESTMENT GROUP
THROUGH THE COURTESY OF
WALL STREET FINANCIAL
633 THIRD AVENUE, 27TH FLOOR
NEW YORK, NY 10017

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY
RR#: 100

FOR QUESTIONS OR UP-TO-DATE ACCOUNT INFORMATION:
Local 212 750 9555

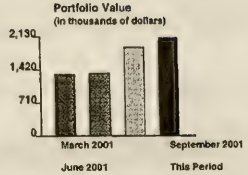
Statement Date: 11/01/01 to 11/30/01

SNAPSHOT

TOTAL PORTFOLIO
$2,110,010.52

PORTFOLIO VALUE	This Period	Prior Period	% Change
Cash and Cash Equivalents	$943,744.94	$1,194,201.61	(20.97)
Securities	$1,166,265.58	$848,634.78	37.43
TOTAL PORTFOLIO VALUE	**$2,110,010.52**	**$2,042,836.39**	**3.29**

Cash and Cash Equivalents will include margin debit and credit balances.



A portfolio value less than "100" may not be displayed.

ACCOUNT ACTIVITY	This Period	Year-To-Date
Net Trading	($91,492.74)	($716,519.28)
Net Additions and Withdrawals	$0.00	$343,080.28
Net Income and Expenses	$16,416.24	$291,451.25
Net Miscellaneous Activity	$0.00	($15.00)

MARGIN PROFILE	This Period
Margin Balance	($276,393.24)
Equity Buying Power	$0.00
Available to Withdraw	$0.00
Available to Borrow	$0.00

Balances and margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed.

LEGEND
() Numbers in parenthesis are debits or subtractions
NFS = National Financial Services LLC

Account carried with National Financial Services LLC, Member NYSE, SIPC

2908

SUMMARY

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents		
Cash	$573,518.50	$646,595.00
Money Markets	$370,226.44	$547,606.61
Securities		
Equities		
Equity	$251,461.00	$250,742.20
Fixed Income		
Corporate Bonds	$914,804.58	$597,892.58
Total Securities	**$1,166,265.58**	**$848,634.78**
TOTAL PORTFOLIO VALUE	**$2,110,010.52**	**$2,042,836.39**

ACCOUNT ACTIVITY	This Period	Year-To-Date
BEGINNING BALANCE	**$646,595.00**	
Trading		
Securities Purchased	($590,314.16)	($5,240,903.11)
Securities Sold	$504,654.75	$4,611,199.64
Less Total Accrued Interest Earned	($5,833.33)	($86,815.81)
NET TRADING	**($91,492.74)**	**($716,519.28)**
Additions and Withdrawals		
Deposits	$0.00	$400,000.00
Other Additions and Withdrawals	$0.00	($56,939.72)
NET ADDITIONS AND WITHDRAWALS	**$0.00**	**$343,060.28**
Income and Expenses		
Taxable Income		
Taxable Dividends	$671.41	$28,372.03
Taxable Interest	$17,744.83	$216,721.28
NET TAXABLE INCOME	$18,416.24	$245,093.31
Non-Taxable Income		
Return of Principal	$0.00	$46,357.94
NET NON-TAXABLE INCOME	$0.00	$46,357.94
NET INCOME AND EXPENSES	**$18,416.24**	**$291,451.25**
NET MISCELLANEOUS ACTIVITY	**$0.00**	**($15.00)**
ENDING BALANCE	**$573,518.50**	

ALERT: Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in January of the subsequent year.

PORTFOLIO ALLOCATION

Cash and Cash Equivalents	44.73%
Equities	11.91%
Fixed Income	43.36%

Allocations for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

2909

Account carried with National Financial Services LLC, Member NYSE, SIPC
See last page for important information about your brokerage account and this statement

SUMMARY

REALIZED GAIN (LOSS)	This Period	Year-to-Date
Short-Term Gain	$7,249.46	$249,731.85
Short-Term Loss	$8,175.00	$21,122.91
Short-Term Disallowed Loss	$0.00	$0.00
NET SHORT-TERM	($925.54)	$228,608.94
Long-Term Gain	$0.00	$40,200.58
Long-Term Loss	$0.00	$0.00
Long-Term Disallowed Loss	$0.00	$0.00
NET LONG-TERM	$0.00	$40,200.58

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete.

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. Cost basis of securities may be adjusted in the future for subsequent events.

2910

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

PORTFOLIO VALUE

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

CASH AND CASH EQUIVALENTS 44.73%

Description	Symbol/Cusip Account Type	Quantity	Price on 11/30/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income
Cash						
NET CASH POSITION				$573,518.50	$646,595.00 (11.30%)	
Money Markets						
PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 1.61% Dividend Option Reinvest	FPRXX CASH	370,226.44	$1.00	$370,226.44	$547,606.61 (32.39%)	
Total Cash and Cash Equivalents				$943,744.94		

EQUITIES 11.91%

Description	Symbol/Cusip Account Type	Quantity	Price on 11/30/01	Current Market Value	Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
JUST FOR FEET INC Dividend Option Reinvest	FEETQ SHORT	(10,000)	$0.004	($40.00)	($50.00) (20.00%)			
INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	ICIXP CASH	208	$1,061.25	$218,617.50	$221,450.00 (1.28%)		$213,500.00	$5,117.50
LOEHMANNS HLDGS INC	LHMS MARGIN	5,059	$6.50	$32,883.50	$29,342.20 12.07%			
Total Equities				$251,461.00				

Account carried with National Financial Services LLC, Member NYSE, SIPC

2911

DETAIL

FIXED INCOME 43.36%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 11/30/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Corporate Bonds								
GOODYEAR TIRE & RUBR CO 8.125% 03/15/2003 NT Next Interest Payable: 03/15/02	382550AF8 SHORT	(100,000)	$101.732	($101,732.00)	($103,155.00) (1.38%)	$8,125.00	$93,883.35	($2,848.65)
GLOBALSTAR L P/GLOBALSTAR CAP 11.375% 02/15/2004 SR NT	379363AK0 CASH	555,000	$8.00	$44,400.00	$47,175.00 (5.88%)		$33,420.00	$10,980.00
CHIQUITA BRANDS INTL INC 9.125% 03/01/2004 SR NT	170032AK2 CASH	250,000	$80.00	$200,000.00	$0.00 100.00%		$208,175.00	($8,175.00)
LOEHMANNS HOLDINGS INC 11.000% 12/31/2005 SR NT Next Interest Payable: 12/31/01	540411AD7 MARGIN	204,100	$76.50	$156,136.50	$159,198.00 (1.92%)	$22,451.00		
FEDERAL MOGUL CORP NT 7.750% 07/01/2006 MAKE WHOLE CALL	313549AL1 CASH	500,000	$11.50	$57,500.00	$52,500.00 9.52%		$76,250.00	($18,750.00)
COMDISCO INC FMKTD SEC 6.130% 08/01/2006	200336AS4 CASH	250,000	$80.00	$200,000.00	$203,750.00 (1.84%)		$198,750.00	$1,250.00
ORION NETWORK SYS INC 11.250% 01/15/2007 SR NT Next Interest Payable: 01/15/02	6862AKAC8 CASH	200,000	$52.00	$104,000.00	$0.00 100.00%	$22,500.00	$94,050.00	$9,950.00
TULTEX CORP SR NT 9.625% 04/15/2007	899900AC0 CASH	800,000	$0.00001	$0.08	$0.08 0.00%		$115,642.08 C	($115,641.98)
FOCAL COMMUNICATIONS CORP 0.000% 02/15/2008 SR NT STEP Next Interest Payable: 02/15/02	344155AC0 CASH	750,000	$29.00	$217,500.00	$202,500.00 7.41%		$145,775.00	$71,725.00

Account carried with National Financial Services LLC, Member NYSE, SIPC

2912

DETAIL

FIXED INCOME 43.36%

For an explanation of fixed income pricing, please see the last page.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 11/30/01	Estimated Current Market Value	Estimated Prior Market Value % Change	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
WINN DIXIE STORES INC 8.875% 04/01/2008 SR NT Next Interest Payable 04/01/02	974280AB5 SHORT	(200,000)	$99.00	($198,000.00)	($101,500.00) 3.39%	$17,750.00	$194,000.00	($4,000.00)
PSINET INC US$ SR NT 11.000% 08/01/2009	69383VAB3 MARGIN	500,000	$8.00	$40,000.00	$35,000.00 14.29%		$50,000.00	($10,000.00)
NORTHPOINT COMMUNICATIONS GRP 12.875% 02/15/2010 SR NT	666610AB6 CASH	1,000,000	$19.00	$190,000.00	$190,000.00 0.00%		$88,800.00	$101,200.00
WINSTAR COMMUNICATIONS INC 12.750% 04/15/2010 SR NT	975515AX5 CASH	2,000,000	$0.25	$5,000.00	$12,500.00 (60.00%)		$45,000.00	($40,000.00)
Total Fixed Income				**$914,804.58**				
Total Securities				**$1,166,265.58**				
TOTAL PORTFOLIO VALUE				**$2,110,010.62**				

ACCOUNT ACTIVITY

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

TRADING

Account carried with National Financial Services LLC, Member NYSE, SIPC

2913

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/15/01	SHORT	YOU BOUGHT	GATX CAP CORP NT 7.750% 12/01/2006 SHORT COVER CORR COMMISSION CORRECTED CONFIRM @ 86.25	100,000	($89,210.25)		
11/01/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	10,750.39	($10,750.39)		
11/02/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	43	($43.00)		
11/05/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	7,872.5	($7,872.50)		
11/06/01	CASH	YOU BOUGHT	ORION NETWORK SYS INC 11.250% 01/15/2007 SR NT CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 47	200,000	($100,841.67)	$94,050.00	$0.00
11/07/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	78,060.44	($78,060.44)		
11/08/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	6,368	($6,368.00)		
11/09/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	275.5	($275.50)		
11/14/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	267	($267.00)		
11/16/01	CASH	YOU BOUGHT	CHIQUITA BRANDS INTL INC 9.125% 03/01/2004 SR NT CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 83.25	250,000	($208,175.00)	$208,175.00	$0.00
11/19/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	437.5	($437.50)		
11/21/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	202	($202.00)		
11/26/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	343.5	($343.50)		

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
11/28/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	41,839.76	($41,839.76)		
11/30/01	SHORT	YOU BOUGHT	GATX CAP CORP NT 7.750% 12/01/2006 SHORT COVER @ 85.969 Short-term gain $803.13	50,000	($44,956.24)	$45,759.37	$803.13
11/30/01	CASH	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	671.41	($671.41)		
Net Securities Purchased					($590,314.16)		

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
10/16/01	SHORT	CANCELLED SELL	GATX CAP CORP NTS 7.75% 12/01/2006 CANCELLED TRADE CORR QUANTITY CORRECTED CONFIRM CXL COMMISSION @ 86.25	(100,000)	$139,160.25		
11/01/01	CASH	YOU SOLD	METROMEDIA FIBER SR NOTES 10.00% 12/15/2009 CORR MARKET/BLOTTER CORRECTED CONFIRM @ 22.50 Short-term gain $2,447.67	(50,000)	$13,068.89	$8,752.33	$2,447.67
11/06/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(97,905.17)	$97,905.17		
11/07/01	CASH	YOU SOLD	METROMEDIA FIBER NETWORK INC 10.000% 12/15/2009 SR NT CORR OFFSET ACCOUNT CORRECTED CONFIRM @ .24 Short-term gain $6,445.33	(100,000)	$27,894.44	$17,504.67	$9,445.33
11/12/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(1,866.5)	$1,866.50		
11/15/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(5,343)	$5,343.00		

Account carried with National Financial Services LLC, Member NYSE, SIPC

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: 11/01/2001 to 11/30/2001

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
11/16/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(207,348)	$207,348.00		
11/20/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(2,978)	$2,978.00		
11/23/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(6,466)	$6,466.00		
11/27/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(283)	$283.00		
11/29/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(2,175.5)	$2,175.50		
11/30/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(126)	$126.00		
Net Securities Sold					**$504,654.75**		
NET TRADING					**($91,492.74)**		

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
11/30/01	CASH	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIVIDEND RECEIVED		$671.41
Taxable Interest					
10/31/01	MARGIN	INTEREST	LOEHMANNS HOLDINGS INC 11.000% 12/31/2005 SR NT		$11,911.50
Total Corporate Accrued Interest Earned					$5,833.33
Net Taxable Income					$18,416.24

Account carried with National Financial Services LLC, Member NYSE, SIPC

Account Number: NW7-000060
Account Name: LOWEYF

Statement Date: 11/01/2001 to 11/30/2001

DETAIL

NET INCOME AND EXPENSES					
					$18,416.24

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount
11/09/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($53,278.00)
11/09/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$53,278.00
11/16/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($3,009.00)
11/16/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$3,009.00
11/23/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($4,503.50)
11/23/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$4,503.50
11/30/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($208.50)
11/30/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$208.50
NET MISCELLANEOUS ACCOUNT ACTIVITY					$0.00

TRADES PENDING SETTLEMENT

These trades settle after the closing date of this statement and will be reflected on your next statement.

Trade Date	Settlement Date	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
11/28/01	12/03/01	SOLD	FEDERAL MOGUL CORP NT 7.750% 07/01/2006 MAKE WHOLE CALL Short-term loss $8,176.00	(500,000)	$68,075.00	$76,250.00	($8,175.00)
11/29/01	12/04/01	BOUGHT	PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021	500,000	($85,362.50)	$85,362.50	$0.00
Net Trades Pending Settlement					($17,287.50)		

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

FOOTNOTE AND COST BASIS INFORMATION

Cost basis and gain(loss) information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time the statement is issued. The information may not reflect all adjustments or reportable transactions that are required for tax purposes and may not be accurate for tax reporting purposes. It is not a substitute for your own tax records. If you have any questions about your specific tax situation, please consult your tax advisor. Cost basis information is not adjusted for investments in Master Limited Partnerships (MLPs) In order to calculate basis for MLPs, you will need supplemental information from the partnership related to the income and distributions during the period you held your investment.

C - This information has been provided by you, the customer. Your Broker/Dealer and NFS, are not responsible for its accuracy

INTERESTED PARTIES INFORMATION

Copies of this statement have been sent to :

MR. STEPHEN LOWEY
105 BEVERLY ROAD
RYE NY 10580

2918

Account carried with National Financial Services LLC, Member NYSE, SIPC

011231 280 001122724
BROWNSTONE INVESTMENT GROUP
THROUGH THE COURTESY OF
WALL STREET FINANCIAL
633 THIRD AVENUE, 27TH FLOOR
NEW YORK, NY 10017

Account Number: NW7-000060

LOWEY FAMILY INVESTMENT LLC
530 EAST 90TH STREET
APARTMENT 2B
NEW YORK NY 10128

YOUR ACCOUNT EXECUTIVE IS
DOUGLAS B. LOWEY
RR#: 100

FOR QUESTIONS OR UP-TO-DATE ACCOUNT INFORMATION:
Local 212 750 9555

Statement Date: **12/01/01 to 12/31/01**

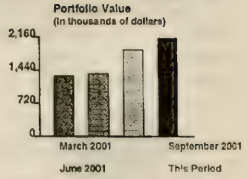
SNAPSHOT

TOTAL PORTFOLIO
$2,144,193.78

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents	$640,136.23	$943,744.94
Securities	$1,504,057.55	$1,166,265.58
TOTAL PORTFOLIO VALUE	**$2,144,193.78**	**$2,110,010.52**

Cash and Cash Equivalents will include margin debit and credit balances.

Your portfolio contains unpriced positions. The securities may be unpriced for various reasons including but not limited to unavailability of pricing or the security may not have value. Please contact your broker/dealer for further information.



A portfolio value less than "100" may not be displayed.

ACCOUNT ACTIVITY	This Period	Year-To-Date
Net Trading	($56,698.42)	($773,217.70)
Net Additions and Withdrawals	$0.05	$343,060.33
Net Income and Expenses	$3,815.87	$295,267.12
Net Miscellaneous Activity	$0.00	($15.00)

MARGIN PROFILE	This Period
Margin Balance	($231,877.00)
Equity Buying Power	$4,400.00
Available to Withdraw	($1,540.00)
Available to Borrow	$0.00

Balances and margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed.

LEGEND
( ) Numbers in parenthesis are debits or subtractions
NFS = National Financial Services LLC

Account carried with National Financial Services LLC, Member NYSE, SIPC

2919

SUMMARY

PORTFOLIO VALUE	This Period	Prior Period
Cash and Cash Equivalents		
Cash	$520,636.00	$573,518.50
Money Markets	$119,500.23	$370,226.44
Securities		
Equities		
Equity	$269,588.55	$251,461.00
Fixed Income		
Corporate Bonds	$1,159,656.50	$914,804.58
U.S. Treasury / Agency Securities	$74,812.50	$0.00
Total Securities	**$1,504,057.55**	**$1,166,265.58**
TOTAL PORTFOLIO VALUE	**$2,144,193.78**	**$2,110,010.52**

ACCOUNT ACTIVITY	This Period	Year-To-Date
BEGINNING BALANCE	$573,518.50	
Trading		
Securities Purchased	($1,239,772.11)	($6,480,675.22)
Securities Sold	$1,186,635.17	$5,797,834.81
Less Total Accrued Interest Earned	($3,561.48)	($90,377.29)
NET TRADING	**($56,698.42)**	**($773,217.70)**
Additions and Withdrawals		
Deposits	$0.00	$400,000.00
Other Additions and Withdrawals	$0.05	($56,939.67)
NET ADDITIONS AND WITHDRAWALS	**$0.05**	**$343,060.33**
Income and Expenses		
Taxable Income		
Taxable Dividends	$254.39	$28,626.42
Taxable Interest	$1,523.44	$218,244.72
U.S. Government Interest	$2,038.04	$2,038.04
NET TAXABLE INCOME	$3,815.87	$248,909.18
Non-Taxable Income		
Return of Principal	$0.00	$46,357.94
NET NON-TAXABLE INCOME	$0.00	$46,357.94
NET INCOME AND EXPENSES	**$3,815.87**	**$295,267.12**

ALERT: Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in January of the subsequent year.

PORTFOLIO ALLOCATION

Cash and Cash Equivalents	29.85%
Equities	12.58%
Fixed Income	57.57%

Allocations for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

2920

Account carried with National Financial Services LLC, Member NYSE, SIPC
See last page for important information about your brokerage account and this statement.

SUMMARY

ACCOUNT ACTIVITY	This Period	Year-To-Date
NET MISCELLANEOUS ACTIVITY	$0.00	($15.00)
ENDING BALANCE	$520,636.00	

REALIZED GAIN (LOSS)	This Period	Year-To-Date
Short-Term Gain	$1,735.99	$251,467.84
Short-Term Loss	$52,508.12	$73,631.03
Short-Term Disallowed Loss	$0.00	$0.00
NET SHORT-TERM	($50,772.13)	$177,836.81
Long-Term Gain	$0.00	$40,200.58
Long-Term Loss	$0.00	$0.00
Long-Term Disallowed Loss	$0.00	$0.00
NET LONG-TERM	$0.00	$40,200.58

The above section is a summary of realized gains and losses for transactions in your account as of the trade date. These figures exclude transactions where cost basis information is incomplete

Cost basis and gain/loss information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time this statement is issued. This information does not substitute for your own tax records and may not be accurate for tax reporting purposes. Cost basis of securities may be adjusted in the future for subsequent events.

2921

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

PORTFOLIO VALUE

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

CASH AND CASH EQUIVALENTS 29.85%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income
Cash						
NET CASH POSITION				$520,636 00	$373 518 50	
Money Markets						
PRIME FUND - CAPITAL RESERVES CLASS 7 DAY AVG NET YIELD 1 31% Dividend Option Reinvest	FPRXX CASH	119,500.23	$1.00	$119,500 23	$370,226 44	
Total Cash and Cash Equivalents				**$640,136.23**		

EQUITIES 12.58%

Description	Symbol/Cusip Account Type	Quantity	Price on 12/31/01	Current Market Value	Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Equity								
INTERMEDIA COMMS INC PFD SER B EXCH 13.50 %	ICIXP CASH	212	$1,070.00	$226,840.00	$218,617.50			
LOEHMANNS HLDGS INC	LHMS MARGIN	5,059	$8.45	$42,746 55	$32,883.50			
LORAL SPACE & COMMUNICATIONS LTD WTS EXP 12/28/2006 ISIN #BMG564621800 (BERMUDA)	G56462180 CASH	1,480	unavailable	unavailable	$0.00			
Total Equities				**$269,588.55**				

Account carried with National Financial Services LLC, Member NYSE, SIPC

2922

DETAIL

FIXED INCOME 57.57%

For an explanation of fixed income pricing, please see the last page

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 12/31/01	Estimated Current Market Value	Estimated Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
Corporate Bonds								
GLOBALSTAR L P/GLOBALSTAR CAP 11.375% 02/15/2004 SR NT	379963AK0 CASH	555,000	$7.00	$38,850.00	$44,400.00		$33,420.00	$5,430.00
CHIQUITA BRANDS INTL INC 9.125% 03/01/2004 SR NT	170032AK2 MARGIN	250,000	$85.00	$212,500.00	$0.00		$208,175.00	$4,325.00
LOEHMANNS HOLDINGS INC 11.000% 12/31/2005 SR NT Next Interest Payable: 06/30/02	540411AD7 MARGIN	234,700	$76.50	$179,545.50	$156,136.50	$25,817.00		
LORAL CYBERSTAR INC SR NT 10.000% 07/15/2006 Next Interest Payable: 01/15/02	543858AC7 CASH	150,000	unavailable	unavailable	$0.00	$15,000.00		
COMDISCO INC RMKTD SEC 6.130% 08/01/2006	200336AS4 CASH	250,000	$78.00	$195,000.00	$200,000.00		$198,750.00	($3,750.00)
TULTEX CORP SR NT 9.625% 04/15/2007	899900AC8 CASH	800,000	$16.00	$128,000.00	$0.00		$115,642.08 C	$12,357.94
FOCAL COMMUNICATIONS CORP 0.000% 02/15/2008 SR NT STEP Next Interest Payable: 02/15/02	344155AC0 CASH	750,000	$28.00	$210,000.00	$217,500.00		$145,775.00	$64,225.00
WINN DIXIE STORES INC 8.875% 04/01/2008 SR NT Next Interest Payable: 04/01/02	974280AB5 SHORT	(200,000)	$95.50	($191,000.00)	($199,000.00)	$17,750.00	$194,000.00	$3,000.00
MCLEODUSA INC SR NT 9.500% 11/01/2008 Next Interest Payable: 05/01/02	582266AL6 CASH	750,000	$21.00	$157,500.00	$0.00	$71,250.00	$100,050.00	($22,550.00)

Account carried with National Financial Services LLC, Member NYSE, SIPC

2923

DETAIL

FIXED INCOME 57.57%

For an explanation of fixed income pricing, please see the last page

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 12/31/01	Estimated Current Market Value	Estimated Prior Market Value	Estimated Annual Income	Total Cost Basis	Unrealized Gain (Loss)
PSINET INC US$ SR NT 11.000% 08/01/2009	69363VAB3 MARGIN	500,000	$7.50	$37,500.00	$40,000.00		$50,000.00	($12,500.00)
NORTHPOINT COMMUNICATIONS GRP 12.875% 02/15/2010 SR NT	666810AB6 CASH	1,000,000	$20.50	$205,000.00	$190,000.00		$88,800.00	$116,200.00
GEORGIA PAC CORP NT 8.125% 05/15/2011 Next Interest Payable: 05/15/02	373298BV9 SHORT	(100,000)	$98.239	($98,239.00)	$0.00	$8,125.00	$96,764.38	($1,474.62)
PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021	74406AAB8 CASH	500,000	$17.00	$85,000.00	$0.00		$85,362.50	($362.50)
U.S. Treasury / Agency Securities								
UNITED STATES TREAS NTS 5.000% 08/15/2011 Next Interest Payable: 02/15/02	912828TB2 CASH	75,000	$99.75	$74,812.50	$0.00	$3,750.00	$73,992.19	$820.31
Total Fixed Income				$1,234,469.00				
Total Securities				$1,604,057.55				
TOTAL PORTFOLIO VALUE				$2,144,193.78				

ACCOUNT ACTIVITY

The information we have provided for open-end mutual funds is based on the Average Cost Single Category method and for all other securities is First In First Out and assumes the method has been followed consistently for all your investments in the securities. If you used the specific share method to identify lots sold, that identification is not reflected. Cost basis information for debt securities has not been adjusted for amortization or accretion.

Account carried with National Financial Services LLC, Member NYSE, SIPC

2924

DETAIL

TRADING

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/03/01	CASH	YOU BOUGHT	PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021 CORR TRADE DATE CORRECTED CONFIRM @ 17.0625	500,000	($85,362.50)	$85,362.50	$0.00
12/03/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	136,030.5	($136,030.50)		
12/04/01	CASH	YOU BOUGHT	PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021 @ 17.0625	500,000	($85,362.50)		
12/04/01	CASH	YOU BOUGHT	PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021 CORR MARKET/BLOTTER CORRECTED CONFIRM @ 17.0625	500,000	($85,362.50)		
12/07/01	CASH	YOU BOUGHT	MCLEODUSA INC SR NT 9.500% 11/01/2008 CORR OFFSET ACCOUNT CORRECTED CONFIRM @ 24	750,000	($180,050.00)	$180,050.00	$0.00
12/10/01	CASH	YOU BOUGHT	UNITED STATES TREAS NTS 5.000% 08/15/2011 @ 98.65625	200,000	($200,491.85)	$197,312.50	$0.00
12/13/01	SHORT	YOU BOUGHT	GEORGIA PAC CORP NT 8.125% 05/15/2011 SHORT COVER CORR SETTLEMENT DATE CORRECTED CONFIRM @ 98.344 Short-term loss $3,367.36	150,000	($148,513.92)	$145,146.56	($3,367.36)
12/13/01	SHORT	YOU BOUGHT	GOODYEAR TIRE & RUBR CO 8.125% 03/15/2003 NT SHORT COVER CORR SETTLEMENT DATE CORRECTED CONFIRM @ 101 Short-term loss $4,150.76	100,000	($103,036.11)	$98,885.35	($4,150.76)
12/13/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	148,408.1	($148,408.10)		
12/14/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	2,058.69	($2,058.69)		

2925

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Purchased

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/17/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	5,108	($5,108.00)		
12/18/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	5,832	($5,832.00)		
12/19/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	25,920	($25,920.00)		
12/20/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	180	($180.00)		
12/21/01	SHORT	YOU BOUGHT	JUST FOR FEET INC SHORT COVER @ .002	10,000	($40.00)	$0.00	$0.00
12/21/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	3,235	($3,235.00)		
12/24/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	238	($238.00)		
12/27/01	MARGIN	YOU BOUGHT	LOEHMANNS HOLDINGS INC 11.000% 12/31/2005 SR NT CORR INTEREST CORRECTED CONFIRM @ 76 50	30,600	($23,459.00)	$23,459.00	$0.00
12/27/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	588	($588.00)		
12/31/01	CASH	YOU BOUGHT	PRIME FUND - CAPITAL RESERVES CLASS @ 1	240.05	($240.05)		
12/31/01	CASH	REINVESTMENT	PRIME FUND - CAPITAL RESERVES CLASS REINVESTED @ $1.00	254.39	($254.39)		

Net Securities Purchased ($1,239,772.11)

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/03/01	CASH	YOU SOLD	FEDERAL MOGUL CORP NT 7.750% 07/01/2006 MAKE WHOLE CALL CORR MARKET/BLOTTER CORRECTED CONFIRM @ 13.625 Short-term loss $8,175.00	(500,000)	$68,075.00	$76,250.00	($8,175.00)
12/04/01	CASH	CANCELLED SELL	PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021 CANCELLED TRADE @ 17.0625	(500,000)	$85,362.50		
12/04/01	CASH	CANCELLED SELL	PROVIDIAN FINL CORP NT ZERO CV 0.000% 02/15/2021 CANCELLED TRADE CORRECTED CONFIRM CXL TRADE DATE @ 17.0625	(500,000)	$85,362.50		
12/04/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(153,472)	$153,472.00		
12/05/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(357)	$357.00		
12/06/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(3,881.5)	$3,881.50		
12/07/01	CASH	YOU SOLD	WINSTAR COMMUNICATIONS INC 12.750% 04/15/2010 SR NT CORR TRADE DATE CORRECTED CONFIRM @ .003 Short-term loss $44,990.00	(2,000,000)	$10.00	$45,000.00	($44,990.00)
12/07/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(179,751.5)	$179,751.50		
12/10/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(168,794.94)	$168,794.94		
12/12/01	SHORT	YOU SOLD	GEORGIA PAC CORP NT 8.125% 05/15/2011 SHORT SALE @ 96.175	(250,000)	$241,910.94	$241,910.94	$0.00
12/13/01	CASH	YOU SOLD	UNITED STATES TREAS NTS 6.000% 08/15/2011 @ 100.125 Short-term gain $1,735.94	(125,000)	$127,054.29	$123,320.31	$1,735.94

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

Securities Sold

Settlement Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/26/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(22,753)	$22,753.00		
12/28/01	CASH	YOU SOLD	PRIME FUND - CAPITAL RESERVES CLASS @ 1	(49,810)	$49,810.00		
12/31/01	CASH	TENDERED	LORAL SPACE & COMMUNICATIONS LTD WTS EXP 12/26/2006 ISIN #BMG564821800 (BERMUDA) TEX PAYOUT 68628KAC8	1,480	$0.00	$0.00	$0.00
12/31/01	CASH	TENDERED	LORAL CYBERSTAR INC SR NT 10.000% 07/15/2006 TEX PAYOUT 68628KAC8	150,000	$0.00	$0.00	$0.00
12/31/01	CASH	TENDERED	ORION NETWORK SYSTEM S INC. 11 25% DUE 01 /15/2007 (EXCHANGED)FROM CUSI P#68628KAC8 TEX PAYOUT 68628KAC8	(200,000)	$0.00		
Net Securities Sold					**$1,188,635.67**		

NET TRADING **($56,698.42)**

ADDITIONS AND WITHDRAWALS

Other Additions and Withdrawals

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/31/01	CASH	DISTRIBUTION	INTERMEDIA COMMS INC PFD SER B EXCH 13 50 %	6	$0.00	$0.00	$0.00
12/31/01	CASH	IN LIEU OF FRX SHARE	LORAL CYBERSTAR INC SR NT 10.000% 07/15/2006 TEX PAYOUT 68628KAC8 Short-term gain $0.05		$0.05	$0.00	$0.05
Net Other Additions and Withdrawals					**$0.05**		

Account carried with National Financial Services LLC, Member NYSE, SIPC

2928

DETAIL

NET ADDITIONS AND WITHDRAWALS

$0.05

INCOME AND EXPENSES

Taxable Income

Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
12/31/01	CASH	DIVIDEND RECEIVED	PRIME FUND - CAPITAL RESERVES CLASS DIV DEND RECEIVED		$254.39
Taxable Interest					
Total Corporate Accrued Interest Earned					
U.S. Government Interest					$1,523.44
Total Government Accrued Interest Earned					$2,038.04
Net Taxable Income					**$3,815.87**

NET INCOME AND EXPENSES

$3,815.87

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/07/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($4,619.74)		
12/07/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$4,619.74		
12/14/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($2,476.09)		
12/14/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$2,476.09		
12/18/01	CASH	JOURNALED	ORION NETWORK SYSTEM S INC. 11.25% DUE 01 /15/2007 (EXCHANGED)FROM CUSI P68828KAC8 TENDER INSTRUCT	200,000	$0.00	$94,050.00	$0.00
12/18/01	CASH	JOURNALED	ORION NETWORK SYS INC 11.250% 01/15/2007 SPINT TENDER INSTRUCT	(200,000)	$0.00		
12/21/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($6,398.00)		
12/21/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$6,398.00		
12/27/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($738.00)		

Account carried with National Financial Services LLC, Member NYSE, SIPC

2929

DETAIL

MISCELLANEOUS ACCOUNT ACTIVITY

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/27/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$738.00		
12/28/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		($1,471.00)		
12/28/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		$1,471.00		
12/31/01	SHORT	SHORT VS MARGIN	MARK TO MARKET		($120.00)		
12/31/01	MARGIN	SHORT VS MARGIN	MARK TO MARKET		$120.00		
NET MISCELLANEOUS ACCOUNT ACTIVITY					**$0.00**		

TRADES PENDING SETTLEMENT

These trades settle after the closing date of this statement and will be reflected on your next statement

Trade Date	Settlement Date	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
12/27/01	01/02/02	BOUGHT	LOEHMANNS HOLDINGS INC 11.000% 12/31/2006 SR NT	61,200	($46,868.00)	$46,868.00	$0.00
Net Trades Pending Settlement					**($46,868.00)**		

FOOTNOTE AND COST BASIS INFORMATION

Cost basis and gain(loss) information is included for your convenience and is based on information you provided or that is otherwise known to NFS at the time the statement is issued. The information may not reflect all adjustments or reportable transactions that are required for tax purposes and may not be accurate for tax reporting purposes. It is not a substitute for your own tax records. If you have any questions about your specific tax situation, please consult your tax advisor. Cost basis information is not adjusted for investments in Master Limited Partnerships (MLPs). In order to calculate basis for MLPs, you will need supplemental information from the partnership related to the income and distributions during the period you held your investment.

C - This information has been provided by you, the customer. Your Broker/Dealer and NFS, are not responsible for its accuracy.

2930

Account carried with National Financial Services LLC, Member NYSE, SIPC

DETAIL

INTERESTED PARTIES INFORMATION

Copies of this statement have been sent to :

MR. STEPHEN LOWEY
105 BEVERLY ROAD
RYE NY 10580

Account carried with National Financial Services LLC, Member NYSE, SIPC

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

(6)

2002 MAY 14 PM 4:23

HC

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Frank D. Lucas
(Full Name)

P.O. Box 1039 Cheyenne, OK 73628
(Mailing Address)

202-225-5565
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: OK District: 06	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Frank D. Lucas	May 14, 2002

2932

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Frank D. Lucas

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
American Bankers Association	Speech	Nov. 13	$1,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank D. Lucas

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Panhandle Royalty Co. Stock	$1,001 - $15,000	Dividends	$1 - $200	
JT	Security State Bank, Cheyenne, OK	$1,001 - $15,000	Interest	$1 - $200	
SP	Western Farm Burea IRA	$1,001 - $15,000	Interest	$1 - $200	
	Apache Corporation	None	Royalty	$201 - $1,000	
	Kerr-McGee Oil & Gas	None	Royalty	$201 - $1,000	
	ST Mary Operating Co.	None	Royalty	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank D. Lucas

	Eott Energy Operating	None	Royalty	$1 - $200	
	Amoco Production Co.	None	Royalty	$15,001 - $50,000	
	480 acres-Farmland,House,Equip.,&Cattle ,Cheyenne,OK	$100,001 - $250,000	Farm Income	$48,000 (Gross)	
JT	320 acres-Farmland, Roger Mill Co., OK	$50,001 - $100,000	Farm Income	See above income	
	103 acres-Mineral Rights, Roger Mills, OK	$100,001 - $250,000	See above individual companies	NONE	
	Public Employee Retirement	$15,001 - $50,000	None	NONE	
SP	Oklahoma Teacher Retirement	$1,001 - $15,000	None	NONE	
SP	Texas Teacher Retirement	$1,001 - $15,000	None	NONE	
DC	Security State Bank, Cheyenne,OK	$1,001 - $15,000	Interest	$1 - $200	
JT	508 acres-Farmland, Roger Mills Co., OK	$100,001 - $250,000	Farm Income	See above income	

SCHEDULE V - LIABILITIES

Name Frank D. Lucas

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Security State Bank; Cheyenne, Oklahoma	Mortgage on 320 acre Farmland, Roger Mills Co., OK	$50,001 - $100,000
JT	Security State Bank; Cheyenne, Oklahoma	Mortgage on 508 acre Farmland, Roger Mills Co., OK	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Frank D. Lucas

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Bankers Association	Nov.13	Okla.City,OK--St.Louis,MO--Wash.,DC	N	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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2002 MAY 15 PM 3:32
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Kenneth Ray Lucas
(Full Name)

993 Riva Ridge Ct, Union, Ky 41091 859/384-5315
(Mailing Address) (Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives — State: Kentucky District: Fourth	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Kenneth R Lucas	5/2/02

2938

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Lincoln National (formerly CIGNA)	Renewals	28753
	Fortis		5490.
	UNUM		3259
	Manulife		2009
	Lincoln National Life + Annuity		691
	Mass Mutual		360
	Delta		2368
	Cross + Assoc.		4069
	First Colony		178
	Southeastern		3898
	CIGNA Gp.		1050
	United		254
	Life Ins. Co. of N.A.		1500
	Kentucky Retirement System	Pension	17474
	CIGNA (Connecticut General Life)	"	722

For payments to charity in lieu of honoraria, use Schedule II.

Name Kenneth R. Lucas | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
	N/A			
Examples	Association of American Associations, Wash., D.C	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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Name Kenneth R. Lucas | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock	X	X	X	P
	Simon & Schuster	Indefinite	Royalties	X	
	1st Bank of Paducah, KY accounts	X	X	X	
	F. 5th Third Bank stock	X	X	X	
SP	" " " "	X	X	X	
	IRA - SEI investments	X		N/A	
	" 5th/3rd Bank stock	X	X	N/A	
SP	" Fountain Square Fund	X		N/A	
	" Premier Asset Mgt. Fd	X		N/A	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Kenneth R. Lucas

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	Market Indexed Funds		X	X	
	DLWW Associates (U.S. 25 Richwood, Ky. & I-71 Interchange Verona, Ky.) Real estate investment	X			
JT	Real estate - Gulf of Mexico Dr., Longboat Key, Fla.	X	X	X	
JT	Time share Real estate - Port Royal Plantation, Hilton Head, S.C.	X	X	X	
	Fuller Square, Inc. & Florence Commercial commercial real estate (rental) Florence, Ky.	X	Sale	X	
	Installment sale of practice to son	Uncertain	Installment sale	X	

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Name Kenneth R. Lucas | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Fifth Third Bank-stock sale		✓		11/01			X							
	Florence Commercial & Fuller Square		✓		1/01			X							

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Name Kenneth R. Lucas | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Hebron Deposit Bank, Hebron, Ky	R.E. mortgage - Gulf of Mexico Pa. Longboat Key Fla			X							
JT	Liberty Bank, Hilton Head S.C.	R.E. mortgage - Tiny Station Port Royal - Hilton Head S.C.		X								
	Hebron Deposit Bank, Hebron, Ky.	note - line of credit		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

N/A

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Kenneth R. Lucas | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Bipartisan Congressional Retreat		Mar 9-11	Wash, DC - Greenbrier W.Va - Wash DC	Y	Y	Y	N
IMPAC 2000		Mar 30-31	" " - Charleston SC - " "	Y	Y	N	N
Democratic Leadership Council		May 10-13	" " Key Largo, Fla " "	Y	Y	Y	N
Blue Dog Non-Federal PAC		Sep 7-9	" " Greenbrier W.Va " "	Y	Y	N	N
Kentucky Bankers Annual Meeting		" 9-10	" " Sea Island, Ga " "	Y	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
License holder	Sagemark Consulting - Lincoln Financial (formerly Cigna)
Director	The Dress Company
"	Northern Kentucky University Foundation
"	Florence Christian Services, Inc.
Partner	DLW Associates
stockholder	Fuller Square, Inc. - Florence Commercial

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
2/1/67	Kenneth R. Lucas & Cigna (and successors)	Payment of vested renewal commissions to Mr. Lucas / or spouse for life.

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

COMMITTEE ON
FINANCIAL SERVICES

Subcommittee on Capital Markets, Insurance, and Government Sponsored Enterprises

Subcommittee on Financial Institutions and Consumer Credit

COMMITTEE ON
AGRICULTURE

Subcommittee on Specialty Crops and Foreign Agriculture Programs

Subcommittee on General Farm Commodities and Risk Management

Congress of the United States
House of Representatives
KEN LUCAS
FOURTH DISTRICT, KENTUCKY

WASHINGTON OFFICE:

1237 Longworth H.O.B.
Washington, D.C. 20515
(202) 225-3465

DISTRICT OFFICES:

277 Buttermilk Pike
Fort Mitchell, KY 41017
(859) 426-0080

Fed. Bldg., Suite 236
1405 Greenup Ave.
Ashland, KY 41101
(606) 324-9898

(2)

May 21, 2002

MC

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 21 PM 3:19
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

The Honorable Jeff Trandahl
Clerk
U.S. House of Representations
B-106 Cannon House Office Building
Washington, D.C. 20515

Dear Sir:

Attached is an amended copy of "Schedule VII – Travel Payments and Reimbursements" for my Financial Disclosure Statement for Calendar Year 2001.

Two trips that I reported on the Disclosure overlapped between September 7 and 10, and Schedule VII did not adequately reflect that overlap. In addition, question VII on page one of the Disclosure relating to travel was inadvertently marked "no;" however, the necessary Schedule VII report was completed and attached as required.

Thank you for the opportunity to make these clarifications.

Sincerely,

Ken Lucas

Ken Lucas
Member of Congress

Name Kenneth R. Lucas | Page 8 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor s expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Bipartisan Congressional Retreat	Mar 9-11	Wash. DC - Greenbrier W.Va - Wash. DC	Y	Y	Y	N
JM PAC 2000	Mar 30-31	" " Charleston S.C. " "	Y	Y	N	N
Democratic Leadership Council	May 10-13	" " Key Largo, Fla " "	Y	Y	Y	N
*Blue Dog Non-Federal PAC	Sep 7-9	" " Greenbrier W.Va. - Sea Island Ga.	Y	Y	N	N
*Kentucky Bankers Meeting	" 9-10	Greenbrier - Sea Island - Wash. D.C.	Y	Y	N	N
*Since the Blue Dog Event and the Kentucky Bankers Meeting overlapped I went from one to the other without going back to my district or Washington						

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LEGISLATIVE RESOURCE CENTER
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(8)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

William Paul Luther
(Full Name)

6375 St. Croix Trail North #147 Stillwater, MN 55082
(Mailing Address)

651-730-4949
Daytime Telephone

MC

Filer Status	☑ Member of the U.S. House of Representatives — State: MN, District: 06	☐ Officer Or Employee	Employing Office:
Report Type	(☑) Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	William P Luther	5/15/02

2949

SCHEDULE I - EARNED INCOME

Name William Paul Luther

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Minnesota, House of Representatives, State Capitol, St. Paul MN 55155	Spouse Salary	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Paul Luther

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Real Property, 6375 St. Croix Trail North, Oak Park Heights, Mn 55082	$100,001 - $250,000	NA	NONE	
	Former Law Practice (sole proprietorship)	$1,001 - $15,000	NA	NONE	
	Checking account, Marquette Bank, Brooklyn Park, 7608 Brooklyn Blvd, Brooklyn Park, MN 55443	$1,001 - $15,000	INTEREST	$1 - $200	
	Checking accounts, US Bank, 90 S. 6th St. Mpls MN 55480	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Checking and Savings accounts, US Bank, 90 S. 6th St. Mpls MN 55480	$1,001 - $15,000	INTEREST	$1 - $200	

2951

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Paul Luther

DC	Checking and Savings accounts, Marquette Bank, Brooklyn Park, 7608 Brooklyn Blvd, Brooklyn Park MN 55433	$1,001 - $15,000	INTEREST	$1 - $200	
	Law firm profit sharing and pension trust, Richard L. Luther, Trustee, 601 Lakeshore Parkway, Suite 750, Minnetonka, MN 55305	$500,001 - $1,000,000	NA	NA	
	Minnesota State Legislator's Defined Benefit Retirement Plans, 175 W. Lafayette Frontage Road S., St. Paul MN 55107	$250,001 - $500,000	NA	NA	
	Minnesota State Deferred Compensation Plans, 85 E. 7th Place Suite 285, St. Paul MN 55101	$100,001 - $250,000	DIVIDENDS/INTEREST	LOSS	
	Liquid Asset Funds Mutual Fund, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls MN 55402	$1 - $1,000	DIVIDENDS	$1 - $200	
	Liquid Asset Funds Money Market, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	$1 - $1,000	DIVIDENDS/INTEREST	$1 - $200	
	Putnam Investor Fund Mutual Funds, 265 Franklin Street, Boston MA 02110, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls MN 55402	$50,001 - $100,000	CAPITAL LOSS	LOSS	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Paul Luther

	Voyageur Minnesota-Insured Funds Mutual Funds, 90 S. 7th St., Suite 4400, Mpls MN 55402, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls MN 55402	$15,001 - $50,000	INTEREST	$201 - $1,000	S
	IRA, Liquid Asset Funds Money Market, Pacific Growth Mutual Fund, American Opportunities Fund, and Dow 10 Unit Trust c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	$1,001 - $15,000	NA	LOSS	S&E
DC	Trusts dated 2/1/78 and 12/21/82, Zurich Kemper Total Return Fund and Schwab Money Market Funds (previously Kemper Funds), c/o Charles Schwab & Co., Inc., 7400 E. Orchard Road, Suite 1200, Englewood, CO 80111	$50,001 - $100,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$1,001 - $2,500	
SP	Pension, Northwest Airlines, Inc., 5101 Northwest Drive, St. Paul, MN 55111-3034	$1,001 - $15,000	NA	NA	
DC	Trust, 1/2 interest in 7 acres, unimproved real estate, NW corner of Hwy 210 and old 210, Fergus Falls, MN	$100,001 - $250,000	NA	NONE	
DC	Roth IRA, Schwab MarketTrack, All Equity Mutual Fund c/o Charles Schwab & Co., Inc., 7400 E. Orchard Road, Suite 1200, Englewood, CO 80111	$1,001 - $15,000	NA	LOSS	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Paul Luther

DC	Checking account, Fleet Bank, PO Box 6480, Boston, MA 02212	$1 - $1,000	NA	NONE	

SCHEDULE IV - TRANSACTIONS

Name William Paul Luther

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Voyageur Minnesota-Insured Funds, Mutual Funds, 90 S. 7th St., Suite 4400, Mpls, MN 55402, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	7/3/01	$1,001 - $15,000
	Putnam Investor Fund Mutual Funds, 265 Franklin St., Boston, MA 02110, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	5/30/01	$1,001 - $15,000
	IRA, Fannie Mae Bond, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	6/26/01	$1,001 - $15,000
	IRA, CMO Bond, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	12/26/01	$1,001 - $15,000
	IRA, 2000 Dow 10 Unit Trust to 2001 Dow 10 Unit Trust c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	E	1/30/01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name William Paul Luther

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute (Education Conference)	2/16-2/19	Mpls-St. Petersburg, FL-Mpls	Y	Y	Y	N
The Aspen Institute (Bi-Partisan Congressional Retreat)	3/9-3/11	Mpls-White Sulphur Springs, WV-Mpls	Y	Y	Y	N

BILL LUTHER
SIXTH DISTRICT, MINNESOTA
ANOKA, WASHINGTON AND CENTRAL DAKOTA COUNTIES

COMMITTEE ON ENERGY AND COMMERCE
SUBCOMMITTEE ON TELECOMMUNICATIONS AND THE INTERNET
SUBCOMMITTEE ON ENERGY AND AIR QUALITY
SUBCOMMITTEE ON ENVIRONMENT AND HAZARDOUS MATERIALS

REGIONAL WHIP

Congress of the United States
House of Representatives
Washington, D.C. 20515-2306

117 CANNON HOUSE OFFICE BUILDING
WASHINGTON, D.C. 20515-2306
(202) 225 2271
FAX: (202) 225-3388

[illegible] WEST EIGHTH
SUITE 150
WOODBURY, MN 55125
(651) 730-4949 (VOICE/TTY)
FAX: (651) 730-0507

http://www.house.gov/luther

June 11, 2002

The Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon HOB
Washington, D.C. 20515

MC

Dear Clerk:

Please amend my original 2001 Financial Disclosure Form to include the following information as part of the IRA description listed as the 2nd entry on page 5 of my Schedule III: "Fannie Mae Bond, CMO Bond."

Thank you for your assistance with this matter. If you have any questions, please do not hesitate to contact me.

Sincerely,

BILL LUTHER
Member of Congress

BL:lrh

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William Paul Luther

	Voyageur Minnesota-Insured Funds Mutual Funds, 90 S. 7th St., Suite 4400, Mpls MN 55402, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls MN 55402	$15,001 - $50,000	INTEREST	$201 - $1,000	S
	IRA, Liquid Asset Funds Money Market, ~~Fannie Mae Bond,~~ Pacific Growth Mutual Fund, American Opportunities Fund, and Dow 10 Unit Trust ~~and GMO Bond~~ c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	$1,001 - $15,000	NA	LOSS	S&E
DC	Trusts dated 2/1/78 and 12/21/82, Zurich Kemper Total Return Fund and Schwab Money Market Funds (previously Kemper Funds), c/o Charles Schwab & Co., Inc., 7400 E. Orchard Road, Suite 1200, Englewood, CO 80111	$50,001 - $100,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$1,001 - $2,500	
SP	Pension, Northwest Airlines, Inc., 5101 Northwest Drive, St. Paul, MN 55111-3034	$1,001 - $15,000	NA	NA	
DC	Trust, 1/2 interest in 7 acres, unimproved real estate, NW corner of Hwy 210 and old 210, Fergus Falls, MN	$100,001 - $250,000	NA	NONE	

SCHEDULE IV - TRANSACTIONS

Name William Paul Luther

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Voyageur Minnesota-Insured Funds, Mutual Funds, 90 S. 7th St., Suite 4400, Mpls, MN 55402, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls,.MN 55402	S	7/3/01	$1,001 - $15,000
	Putnam Investor Fund Mutual Funds,.265 Franklin St., Boston, MA 02110, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	5/30/01	$1,001 - $15,000
	IRA, Fannie Mae Bond, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	6/26/01	$1,001 - $15,000
	IRA, CMO Bond, c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	S	12/26/01	$1,001 - $15,000
	IRA, 2000 Dow 10 Unit Trust to 2001 Dow 10 Unit Trust c/o Morgan Stanley, 333 S. 7th St., Suite 1300, Mpls, MN 55402	E	1/30/01	$1,001 - $15,000

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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2002 MAY 15 AM 10: 13

(Office Use Only) CLERK
U.S. HOUSE OF REPRESENTATIVES

(9)

Stephen F. Lynch
(Full Name)

55 G Street Apartment 2 South Boston, MA 02127
(Mailing Address)

202-225-8273
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: MA, District: 09	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. I, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5.14.02

2960

SCHEDULE I - EARNED INCOME

Name Stephen F. Lynch

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
South Boston Community Health Center	Spouse salary	$57,614.64
Massachusetts State Senate, January 1, 2001-October 16, 2001	Salary	$44,764.68
Law Office of Dumont, Morris, Burke and Lynch	Salary	$859
Massachusetts State Senate, January 2001-October 2001	Office Allowance	$6,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Stephen F Lynch

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Pioneer Equity A Inc	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	Pioneer Mid-Cap Growth A	$1,001 - $15,000	CAPITAL GAINS	$5,001 - $15,000	S
	EMC Corp	$1,001 - $15,000		NONE	P
	Intel Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
JT	55 Woodward Street	None	RENT	$5,001 - $15,000	
JT	55 Woodward Street, South Boston, MA	None	CAPITAL GAINS	$100,001 - $1,000,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Stephen F. Lynch

	3 Jason Terrace, South Boston, MA	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	55 G Street; South Boston, MA	$250,001 - $500,000	RENT	$5,001 - $15,000	

SCHEDULE IV - TRANSACTIONS

Name Stephen F. Lynch

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Pioneer Mid-Cap Growth A	S	3/7/01	$1,001 - $15,000
JT	55 Woodward Street	S	10/26/01	$100,001 - $250,000

SCHEDULE V - LIABILITIES

Name Stephen F. Lynch

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Mount Washington Bank, Massachusetts	Mortgage on 55 Woodward Street, South Boston, MA Paid in Full as of Filing	$100,001 - $250,000
JT	Mount Washington Bank, Massachusetts	Mortgage on 55 G Street, South Boston, MA	$100,001 - $250,000
	Mount Washington Bank, Massachusetts	Mortgage on 3 Jason Terrace, South Boston, MA	$50,001 - $100,000
JT	Mount Washington Bank, Massachusetts	Equity Line on 55 G Street-Paid in Full as of Filing	$50,001 - $100,000
JT	Fleet Bank, Massachusetts	Equity Line on 55 G Street	$50,001 - $100,000
	Sallie Mae, Pennsylvania	Student Loan	$10,001 - $15,000
	Massachusetts Education Financial Assistance	Student Loan, Paid in Full as of Filing	$15,001 - $50,000

SCHEDULE VIII - POSITIONS

Name Stephen F. Lynch

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Co-Founder, Chairman of the Board	South Boston Harbor Academy charter School
Board Member	Colonel Daniel Marr Boys and Girls Club
Board Member	Boston Children's Museum
Board Member	Friends for Children
Board Member	South Boston Boys and Girls Club
Incorporater, Appointer Ex Officio	South Boston Betterment Trust

SCHEDULE IX - AGREEMENTS

Name Stephen F. Lynch

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1/1/98	Stephen F. Lynch and Gabriel Dumont	Of counsel agreement which specifies that Stephen F. Lynch does not share in any partnership income

FOOTNOTES

Name Stephen F. Lynch

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Partial sale of stock, still retain shares	Pioneer Mid-Cap Growth A
2	Schedule VIII	Resigned as Chairman of the Board, July 2001	Co-Founder, Chairman of the Board
3	Schedule IX	Resigned from Law Office of Dumont, Burke, Morris and Lynch in July 2001	Stephen F. Lynch and Gabriel Dumont

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OFFICE OF THE CLERK
(Office Use Only) REPRESENTATIVES

MC

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Carolyn B. Maloney
(Full Name)

49 East 92nd Street
(Mailing Address)

New York, New York 10128

Daytime Telephone
(212) 289-9450

Filer Status	[X] Member of the U.S. House of Representatives — State: New York District: 14	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Carolyn B. Maloney	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Liberty Pittsburg Systems, Inc., Pittsburg, PA	Spouse	N/A
Chromium Industries, Inc., Chicago, IL	Spouse	N/A
CHW Maloney & Co., Incorporated, New York, NY	Spouse	N/A
The Wall Street Fund, New York, NY	Spouse	N/A
HSBC Funds Trust & HSBC Mutual Funds Trust, New York, NY	Spouse	N/A
Interpool, Inc., Princeton, NJ - Options and Director fees	Spouse	N/A
Heritage Capital, New York, NY	Spouse	N/A
Green Sea Farms, LLC	Consultant fees	20,000

For payments to charity in lieu of honoraria, use Schedule II.

Name	Carolyn B. Maloney	Page 3 of 12

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
None			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: Carolyn B. Maloney

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	PARTNERSHIP, SUB-S INCOME / Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples: DC	Simon & Schuster		Indefinite																	Royalties									X			
Examples: JT	1st Bank of Paducah, KY accounts						X									X										X						
	Stock-Chromium Industries, Inc.-Chicago, IL						X														X											
	CD-First Coastal Bank-Virginia Beach, VA			X												X							X									
	Stock-Liberty Pittsburg Systems, Inc.-Pittsburg, PA				X																X											
	Rental Property & Residence-49 East 92 Street, New York, NY									X					X												X					
	Rental Property-Single Family, 279 West Road, New Canaan, CT									X					X												X					
	Albright & Maloney Partnership, 10 High St., Boston, MA						X								X						X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Carolyn B. Maloney

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	PARTNERSHIP, SUB-S INCOME	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	HPB Enterprises, T/A Albemarle Plantation-Real Estate Dev.-Hertford, NC								X						X	X	X			X								X					
	Stock-Aldo Farms of NC, Inc., Virginia Beach, VA				X									X												X							
	Stock-The Wall Street Fund			X										X										X									
	Stock-Roll Finishing, Mt. Vernon, IN					X														X		X											
	Stock-JTP, Inc.-Land Investment, Jonestown Road, Chesapeake, VA				X										X							X											
	Citibank, N.A. Checking				X									X										X									
	Alliance Capital Reserve (Money Market Fund)				X									X											X								
	Shares-Dreyfus Money Market Fund				X									X											X								
	Undivided Interest-Land-96 acres-Route 64, Southampton County, VA				X												X					X											
	Stock-Beechtree Park, Inc., T/A Holiday Travel Park, Virginia Beach, VA-S-corp election 1/1/01							X							X	X	X			X								X					
	Shares-Fidelity Cash Reserve			X										X										X									
	Shares-Fidelity U. S. Government Reserve			X										X										X									
	Stock-CB Maloney & Co., Inc.			X										X												X							
	Stock-Holiday Village, Inc.-Real Estate, Virginia Beach, Virginia				X										X		X					X											
	Fleet Bank-Checking			X																		X											
	Chase Manhattan Bank-Checking			X																		X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Carolyn B. Maloney

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; PARTNERSHIP, SUB-S INCOME; Other Type of Income (Specify); OPTIONS	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	
	R. G. Bosher Irrevocable Life Ins. Trust-Insurance Trust-common stock-Manulife		X	X	
DC	HFB Enterprises, T/A Albemarle Plantation-Real estate 1% income interest, Hertford, NC	X	X X X	X X	
	Bosher Family Partnership L.P., Virginia Beach, VA	X	X	X	
	236 shares El Paso Nat'l Gas LP	X	X	X	
	Undivided 1/5 interest-real estate-Rose Hall, Jamaica	X	X	X	
	Stock-Birdneck Country Club Apt., Inc.	X	X	X	
SP	Bosher Family Partnership L.P.-Virginia Beach, VA	X	X	X	
DC	Bosher Family Partnership L.P.-Virginia Beach, VA	X	X	X	
	Stock-Sea Bay Development Corp.-S-Corp election 1/1/01	X	X X X	X X	
	Chromium Industries-loan	X	X	X	
	Green Sea Farms, LLC-Chesapeake, VA	X	X X	X	
	*See attached schedule of holdings				
	Minnewawa Assoc. L.P., Blue Mountain Lake, NY	X	X	X	
	Interpool, Inc., Princeton, NJ	X	X	X	

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Carolyn B. Maloney
49 East 92nd Street
New York, New York 10128

ATTACHMENT TO SCHEDULE III, PAGE 6 OF 12
FINANCIAL DISCLOSURE STATEMENT
FOR THE YEAR DECEMBER 31, 2001

The following is a listing of the real estate holdings of the Bosher Family Partnership as of December 31, 2001:

1. 93.78 acres of land in Ocala, Florida.
2. Parcel #10-11-23-0000-0030-0000 located in Palatka, Florida.
3. Two residential lots in Pinehurst, North Carolina.
4. Two residential lots in Edenton, North Carolina.
5. 76.00 acres of land in Chowan County, North Carolina.
6. 107.00 acres of land in Elizabeth City, North Carolina.
7. 26 acres of land in Elizabeth City, North Carolina.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Carolyn B. Maloney

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: J None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	U. S. Treasury Notes-50%															X																
	Common Stocks-50%																															
	A.T.&T.			X										X																		
	A.T.&T. Wireless			X										X							X											
	Allstate Corp.													X									X									
	Avaya Inc.		X											X							X											
	BP PLC				X									X										X								
	CSX Corp.				X									X									X									
	Colgate-Palmolive							X						X											X							
	Dole Food				X									X									X									
	Donnelley RR & Sons					X								X										X								
	El Paso Corp.				X									X									X									
	Exxon Mobile					X								X										X								
	Fortune Brands				X									X										X								
	Gallaher Grp PLC				X									X										X								
	Heinz H. J. Co.						X							X											X							
	IBM						X							X									X									
	Lucent Tech			X										X							X											
	Merck & Co.							X						X											X							
	Morgan Stanley					X								X										X								
	PNC Finl Svcs.						X							X											X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Carolyn B. Maloney

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P. S. E
	Pepsico						X							X										X								
	Plum Creek Timber Co.				X									X																		
	Public Svc Enterprise				X									X									X									
	Quest Comm.			X										X								X										
	SBC Comm.					X								X										X								
	Sears				X									X									X									
	Verizon				X									X											X							
	Mutual Funds-50% interest																															
	Eaton Vance Tax Mg.									X				X		X	X									X						
	First Union Money Market Fund-50%						X									X									X							

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Name Carolyn B. Maloney

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Eaton Vance Tax Managed Fund		X		7-20-01				X						
	Eaton Vance Tax Managed Fund		X		8-02-01				X						
	Johnson & Johnson Common Stock		X		7-26-01				X						
	Pfizer Inc. Common Stock		X		8-07-01				X						

This page may be copied if more space is required.

Name	Carolyn B. Maloney	Page 10 of 12

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Citibank, N.A.	Mortgage-49 East 92nd Street, N. Y., NY					X					
	Chase Manhattan Mtg Corp. Worthington, Ohio	Mortgage-279 West Road, New Canaan Bank				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	None						

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2980

Name	Carolyn B. Maloney	Page 12 of 12

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	HPB Enterprises, T/A Albemarle Plantation, Hertford, NC
Partner	Bosher Family Partnership, L.P., Virginia Beach, VA
Member	Green Sea Farms, L.L.C., Virginia Beach, VA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO: 2002 77-791 (mac).

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(7)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:02
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

JAMES H. MALONEY
(Full Name)

15 Wooster Heights
(Mailing Address)

Danbury, CT 06810

Daytime Telephone: 202-225-3822

Filer Status	[x] Member of the U.S. House of Representatives — State: CT District: 05	[ ] Officer or Employee	Employing Office:
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Page 1 of 7

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [x]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [x]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [x]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [x]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [x]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [x]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [x]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [x]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [x]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim H. Maloney	5/15/2002

SCHEDULE I — EARNED INCOME

5/15/2002

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Danbury Public Schools, Danbury, CT	Spouse Salary	N/A
	New Milford Public Schools, New Milford, CT	Spouse Salary	N/A.

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Cong. James H. Maloney

Page 3 of 7

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting year, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For an IRA or retirement plan over which you have investment power, provide the required information on each underlying asset that exceeds the value or income reporting threshold. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totalling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For IRA's and retirement plans that are *not* self-directed, you may write in "NA" for income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 - $1,000	C $1,001 - $15,000	E $15,001 - $50,000	F $50,001 - $100,000	G $100,001 - $250,000	H $250,001 - $500,000	I $500,001 - $1,000,000	J $1,000,001 - $5,000,000	K $5,000,001 - $25,000,000	L $25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $201 - $300	III $301 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E Transaction
SP	Examples: Mega Corp. Stock				X									X									X									P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts					X										X									X							
DC	Maloney, Leaphart & Assoc. Loans Receivable and Equity	P	X																		Y											
	Constitution State Strategic Assoc. (Shares)			X																	Y											
	Maloney Congress Committee (Loans)			X												X					X											

For additional assets and unearned income, use next page.

5/15/2002

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Cong. James H. Maloney

Page 4 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1,000 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Nutmeg Federal Savings			X												X						X										
	Bank Accounts																															
	Maloney State Senate Committees (Loans)			X												X					X											
	U.S. Government Bonds			X												X					X											
	First Union Bank Accounts			X												X						X										
	Norwalk Saving Society Acct			X												X								X								
	1988 Hillsdale Rd., Cheshire, (Partial Interest)					X															X											
	Smith Barney IRA Money Market		X													X						X										P, S
	Smith Barney IRA Money Market		X													X						X										P, S
	Congressional Credit Union		X														X					X										
	F/K/A NewMil Bank																															

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5/15/2002

Name Cong. James H. Maloney | Page 6 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report *revolving charge accounts* only if the balance at the end of the reporting period exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	American National Bank, Cheshire, CT	Mortgage on 1988 Milldale Rd. Cheshire, CT		X								
	Francis A. Miniter, Hartford, CT	Mortgage on 1988 Milldale Rd. Cheshire, CT		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $250 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $250 disclosure threshold.

Note: The gift rule (House Rule 51, re-numbered as clause 5 of House Rule 25 in the 106th Congress) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required

5/15/2002

2986

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

5/15/2002

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Invest to Compete Alliance	7/5-7/8	CT-Chatham, MASS-CT	Y	Y	Y	Y-travel to & from
	CBS News	5/31	CT-New York City-CT	Y	N	N	N
	American Assoc. of Otolaryngology	2/5	Pittsburg to Tampa to DC	N	N	N	N

5/15/2002

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Joint Tenancy	1989 Millgate Road, Cheshire, CT

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A	Maloney, Leaphart & Associates, P.C.	Dissolved P.C. wrapping up affairs; to distribute any net equity

CONGRESS OF THE UNITED STATES

HAND DELIVERED

James H. Maloney
5th District, Connecticut

mc

May 17, 2002

Mr. Jeff Trandahl
Clerk of the House of Representatives
H154 The Capitol
Washington, DC 20515

Dear Mr. Trandahl:

I would like to correct the name of the organization sponsoring my travel on February 5, 2001 on Schedule VII of my financial disclosure form.

The group was listed incorrectly as the American Association of Otolaryngology. The correct name of the group is the Association for Research in Otolaryngology.

I appreciate your assistance in making this correction in my financial disclosure form.

Sincerely,

James H. Maloney
Member of Congress

LEGISLATIVE RESOURCE CENTER
2002 MAY 22 PM 4:42
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Financial Services Committee

Armed Services Committee

Please Respond to:

☐
1427 Longworth Building
Washington, DC 20515
Phone: (202) 225-3822
Fax: (202) 225-5746

☐
20 East Main Street
Suite 240
Waterbury, CT 06702
Phone: (203) 573-1418
Fax: (203) 573-9329

LEGISLATIVE RESOURCE CENTER
2002 MAY 22 PM 4:41
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

THIS STATIONERY PRINTED ON PAPER MADE OF RECYCLED FIBERS

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(12)

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 1:30

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HC

2990

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of 6

Donald A. Manzullo
(Full Name)

792 Lightsville Road Egan, IL 61047
(Mailing Address)

202-225-5676
Daytime Telephone

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: IL, District: 16	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Donald A. Manzullo	5/14/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Donald A. Manzullo

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Office Building 400 Washington St. Oregon, IL 60061	$250,001 - $500,000	RENT	$15,001 - $50,000	
	Stock - Law office of Don Manzullo (sole shareholder) dormant	$1 - $1,000		NONE	
	Manzullo PC pension trust (see attachment)	$250,001 - $500,000	DIVIDENDS//INTEREST//CAPITAL GAINS	$15,001 - $50,000	
	Donald Manzullo IRA (see attachment)	$1,001 - $15,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$15,001 - $50,000	
	Freda Manzullo IRA (see attachment)	$1,001 - $15,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Donald A. Manzullo

DC	Neil Manzullo, various funds (see attachment)	$15,001 - $50,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$1,001 - $2,500	
DC	Noel Manzullo, various accounts (see attachments)	$15,001 - $50,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$1,001 - $2,500	
DC	Katie Manzullo, various accounts (see attachments)	$15,001 - $50,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$1,001 - $2,500	
JT	stocks, cash, bonds (see attachments)	$100,001 - $250,000	DIVIDENDS/INTEREST/CAPITAL GAINS	$15,001 - $50,000	
	Farm - Egan, IL	$50,001 - $100,000	RENT Operation related	$5,001 - $15,000	

SCHEDULE IV - TRANSACTIONS

Name Donald A. Manzullo

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	See attachments to Schedule III, which lists all transactions and amounts.			

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Donald A. Manzullo

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Chicago Mercantile Exchange	Mar. 16-18	Wash., D.C.--Boca Raton, FL--Wash., D.C.	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Donald A. Manzullo

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Donald Manzullo PC (dormant)
Trustee	Donald Manzullo Pension Trust - sole shareholder
Trustee	M.F. Charitable Trust (dormant)

Schedule III – Assets and Unearned Income Attachment

Donald Manzullo PC Pension Trust (Mutual Funds)

Dreyfus Apprec Fund	$15,000 to $50,000
John Hancock Ser Tr Small Cap Growth	1,000 to 15,000
Goldman Sachs Money Market	1,000 to 15,000
Morgan Stanley Funds Insti. Value	5,000 to 50,000
Pilgrim Mayflower – ING Int. Value	15,000 to 50,000
PIMCO Multi-Mgr Mid Cap Growth	15,000 to 50,000
PIMCO Pac Invst Mgmt	15,000 to 50,000
Royce Premier Fund	1,000 to 15,000
Scudder Int'l Fund	15,000 to 50,000
TCW Galileo Select Equity	15,000 to 50,000
Vanguard Total Bond Mkt Index	15,000 to 50,000
Vanguard Windsor Fund	15,000 to 50,000

(The above were all purchased in 2001)

Promissory Note to Donald & Freda Manzullo 2/1/00	1,000 to 15,000
Stillman Valley Nat'l Bank	1 to 1,000

Sales in 2001 – the following mutual funds were sold in 2001

Am Century Int'l Bond	$1,000 to 15,000
Am Century Income & Growth	15,000 to 50,000
Berger Omni Small Cap Value	15,000 to 50,000
Janus Enterprise Fund	1,000 to 15,000
Janus Mercury Fund	1,000 to 15,000
Janus Worldwide	15,000 to 50,000
Lord Abbot Dev Growth	15,000 to 50,000
Putnam Fd Growth & Income	15,000 to 50,000
Kemper-Shudder Tech Fd A	1,000 to 15,000
Kemper Scudder Tech Fd B	1,000 to 15,000
Strong Corp Bond Fund	15,000 to 50,000
Vanguard Fxd Inc Sec Fund	15,000 to 50,000
Vanguard Index Growth Portfolio	15,000 to 50,000
Vanguard Inter Term Treasuries	15,000 to 50,000
Scudder Greater Europe	1,000 to 15,000

Donald Manzullo (Traditional) IRA (At First Union)

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

(All above were purchased in 2001)

Sales in 2001 (All funds are between $1 and $1,000)

Eresource Cap Grp Stock
Kemper Classic Growth
Kemper Growth Fund
Kemper Int'l Fund
Kemper Tech Fund
PurchaseSoft Stock

Donald Manzullo's Roth IRA

Janus Mercury	$1,000 to 15,000
Janus Strategic Value	1,000 to 15,000

Freda Manzullo (Traditional) IRA (At First Union)

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

(All above were purchased in 2001)

Sales in 2001 (All funds are between $1 and $1,000)

Eresource Cap Grp Stock
Kemper Classic Growth
Kemper Growth Fund
Kemper Int'l Fund
Kemper Tech Fund
PurchaseSoft Stock

Freda Manzullo's Roth IRA

Janus Fund (All are $1,000 to 15,000)
Janus Mercury Fund
Janus Strategic Value

Donald and Freda Manzullo's Joint Accounts

GMAC	6.6%	Bonds due 8/15/2016	$1,000 to 15,000
Sears	6.25%	Bonds due 5/01/2009	1,000 to 15,000
Sears	7%	Bonds due 2/1/2011	1,000 to 15,000

(The above three were all purchased in 2001)

EDS	$1,000 to 15,000
Eresource Cap Group	1 to 1,000
Hasbro	1 to 1,000
Wal Mart	1,000 to 15,000
Walgreen	1,000 to 15,000

Corporate Bonds (All bonds below are $1,000 to 15,000)
IBM Notes 7/25% due 11/01/02
Citicorp Notes 7.125% due 06/01/03
LaSalle Nat'l Bk Step Dn Notes

Mortgage Backed Securities (All sec. below are $1,000 to 15,000)
FHLMC 7.4 due 12/15/21
FNMA 7.0 due 12/25/21
FHLMC 8.5 due 11/15/24
FHLMC 7.3 due 05/15/26

First Trust REIT 231	$1,000 to $15,000
Evergreen Money Market	15,000 to 50,000

Janus Mercury Fund	1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000

Wright-Patman Fed Credit Union	
Savings	1,000 to 15,000
Checking	1,000 to 15,000

Stillman Valley Nat'l Bank	
Checking	1,000 to 15,000
Savings	1,000 to 15,000

Sales in 2001

Unigraphics Solutions	$1,000 to 15,000
Bear Stearns 7.0 Bonds	15,000 to 50,000
CMS Energy Crp Bonds 8.0	15,000 to 50,000
CMS Energy CRP Bonds 7.75	1,000 to 15,000
GMAC Deb 5.5	1,000 to 15,000
Provident Bank 6.7 Bond	1,000 to 15,000

Neil Manzullo

Educational IRA

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

(All above were purchased in 2001)

Janus Mercury Fund

Savings ·

Janus Mercury Fund	$1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000
Delaware Aggressive Growth	1,000 to 15,000
College Illinois Bond	1,000 to 15,000
Sale in 2001	
Standard and Poors (SPY) stock	$1 to 1,000

Noel Manzullo

Educational IRA

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galilco Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

(All above were purchased in 2001)

Savings

Janus Mercury Fund	$1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000
Delaware Aggressive Growth	1,000 to 15,000
College Illinois Bond	1,000 to 15,000
College Illinois Prepaid Tuition	1,000 to 15,000

Sale in 2001
Standard and Poors (SPY) stock $1 to 1,000

Transactions: monthly contributions of $332 to College Illinois Prepaid Tuition

Katie Manzullo

Educational IRA

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund
(All above were purchased in 2001)

Savings

Janus Mercury Fund	$1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000
Delaware Aggressive Growth	1,000 to 15,000
College Illinois Bond	1,000 to 15,000
College Illinois Prepaid Tuition	1,000 to 15,000

Sale in 2001
Standard and Poors (SPY) stock $1 to 1,000

Transactions: monthly contributions of $332 to College Illinois Prepaid Tuition

DONALD A. MANZULLO
SMALL BUSINESS
CHAIRMAN

FINANCIAL SERVICES
FINANCIAL INSTITUTIONS AND
CONSUMER CREDIT

INTERNATIONAL MONETARY
POLICY AND TRADE

Congress of the United States
House of Representatives
Washington, DC 20515-1316

16TH DISTRICT, ILLINOIS
409 CANNON BUILDING
WASHINGTON, DC 20515
202/225-5670

DISTRICT OFFICES:
415 SOUTH MULFORD ROAD
ROCKFORD, IL 61108
815/394-1231

181 N. VIRGINIA AVENUE
CRYSTAL LAKE, IL 60014
815/356-9800

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 14 AM 11:16
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

June 13, 2002

Mr. Jeff Trandahl
Clerk of the House
US House of Representatives
Washington, D.C.

Dear Mr. Trandall.

Please find attached Amended Schedule III. The amended schedule completes the dates of transactions.

Sincerely,

DONALD A. MANZULLO
enc

Amended
Schedule III – Assets and Unearned Income Attachment

Donald Manzullo PC Pension Trust (Mutual Funds)

Dreyfus Apprec Fund	$15,000 to $50,000
John Hancock Ser Tr Small Cap Growth	1,000 to 15,000
Goldman Sachs Money Market	1,000 to 15,000
Morgan Stanley Funds Insti. Value	5,000 to 50,000
Pilgrim Mayflower – ING Int. Value	15,000 to 50,000
PIMCO Multi-Mgr Mid Cap Growth	15,000 to 50,000
PIMCO Pac Invst Mgmt	15,000 to 50,000
Royce Premier Fund	1,000 to 15,000
Scudder Int'l Fund	15,000 to 50,000
TCW Galileo Select Equity	15,000 to 50,000
Vanguard Total Bond Mkt Index	15,000 to 50,000
Vanguard Windsor Fund	15,000 to 50,000

Order to purchase the above mutual funds was given on 8/21/01, and settlement completed within 30 days

Promissory Note from Donald & Freda Manzullo 2/1/00	1,000 to 15,000
Stillman Valley Nat'l Bank	1 to 1,000

Order to sell the following mutual funds was given on 8/20/01, and settlement completed within 30 days

Am Century Int'l Bond	$1,000 to 15,000
Am Century Income & Growth	15,000 to 50,000
Berger Omni Small Cap Value	15,000 to 50,000
Janus Enterprise Fund	1,000 to 15,000
Janus Mercury Fund	1,000 to 15,000
Janus Worldwide	15,000 to 50,000
Lord Abbot Dev Growth	15,000 to 50,000
Putnam Fd Growth & Income	15,000 to 50,000
Kemper-Shudder Tech Fd A	1,000 to 15,000
Kemper Scudder Tech Fd B	1,000 to 15,000
Strong Corp Bond Fund	15,000 to 50,000
Vanguard Fxd Inc Sec Fund	15,000 to 50,000
Vanguard Index Growth Portfolio	15,000 to 50,000
Vanguard Inter Term Treasuries	15,000 to 50,000
Scudder Greater Europe	1,000 to 15,000

Donald Manzullo (Traditional) IRA (At First Union)

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

Order to purchase above mutual funds was given on 8/16/01 and settlement completed within 30 days.

Sales in 2001 (All funds are between $1 and $1,000)

Eresource Cap Grp Stock
Kemper Classic Growth
Kemper Growth Fund
Kemper Int'l Fund
Kemper Tech Fund
PurchaseSoft Stock

Order to sell above stock and mutual funds was given on 8/13/01 and settlement completed within 30 days.

Donald Manzullo's Roth IRA

Janus Mercury	$1,000 to 15,000
Janus Strategic Value	1,000 to 15,000

Freda Manzullo (Traditional) IRA (At First Union)

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager

Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

Order to purchase above mutual funds was given on 8/23/01 and settlement completed within 30 days.

Sales in 2001 (All funds are between $1 and $1,000)

Eresource Cap Grp Stock
Kemper Classic Growth
Kemper Growth Fund
Kemper Int'l Fund
Kemper Tech Fund
PurchaseSoft Stock

Order to sell above stock and mutual funds given on 8/13/01 and settlement completed with 30 days.

Freda Manzullo's Roth IRA

Janus Fund (All are $1,000 to 15,000)
Janus Mercury Fund
Janus Strategic Value

Donald and Freda Manzullo's Joint Accounts

GMAC	6.6%	Bonds due 8/15/2016	$1,000 to 15,000
Sears	6.25%	Bonds due 5/01/2009	1,000 to 15,000
Sears	7%	Bonds due 2/1/2011	1,000 to 15,000

(Order to purchase the above bonds was given on 8/13/01 and settlement completed within 30 days.

EDS	$1,000 to 15,000
Eresource Cap Group	1 to 1,000
Hasbro	1 to 1,000
Wal Mart	1,000 to 15,000
Walgreen	1,000 to 15,000

Corporate Bonds
IBM Notes 7/25% due 11/01/02 (All bonds below are $1,000 to 15,000)
Citicorp Notes 7.125% due 06/01/03
LaSalle Nat'l Bk Step Dn Notes

Mortgage Backed Securities
FHLMC 7.4 due 12/15/21 (All sec. below are $1,000 to 15,000)
FNMA 7.0 due 12/25/21
FHLMC 8.5 due 11/15/24
FHLMC 7.3 due 05/15/26

First Trust REIT 231	$1,000 to $15,000
Evergreen Money Market	15,000 to 50,000
Janus Mercury Fund	1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000

Msc (Yearly interest income on each is between $1 and $200)

Wright-Patman Fed Credit Union	
Savings	1,000 to 15,000
Checking	1,000 to 15,000
Stillman Valley Nat'l Bank	
Checking	1,000 to 15,000
Savings	1,000 to 15,000

Sales in 2001

Unigraphics Solutions sale on 6/5/01 $1,000 to 15,000

Following bonds were called or redeemed on following dates:

Bear Stearns 7.0 Bonds	11/5/01	15,000 to 50,000
CMS Energy Crp Bonds 8.0	7/16/01	15,000 to 50,000
CMS Energy CRP Bonds 7.75	7/16/01	1,000 to 15,000
GMAC Deb 5.5	12/17/01	1,000 to 15,000
Provident Bank 6.7 Bonds	9/25/01	1,000 to 15,000

Neil Manzullo

Educational IRA

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)

Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

Order to purchase above mutual funds given on 8/16/01 and settlement occurred within 30 days.

Janus Mercury Fund

Savings

Janus Mercury Fund	$1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000
Delaware Aggressive Growth	1,000 to 15,000
College Illinois Bond	1,000 to 15,000

Sale in 2001

Standard and Poors (SPY) stock	$1 to 1,000

Order to sell given on 8/13/01 and settlement occurred within 30 days.

Noel Manzullo

Educational IRA

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager

Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

(All above were purchased in 2001)

Order to purchase above mutual funds was given on 8/16/01 and settlement occurred within 30 days.

Savings

Janus Mercury Fund	$1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000
Delaware Aggressive Growth	1,000 to 15,000
College Illinois Bond	1,000 to 15,000
College Illinois Prepaid Tuition	1,000 to 15,000

Sale in 2001

Standard and Poors (SPY) stock	$1 to 1,000

Order to sell this stock was given on 8/13/01 and settlement occurred within 30 days.
Transactions: monthly contributions of $332 to College Illinois Prepaid Tuition

Katie Manzullo

Educational IRA

Dreyfus Appreciation Fund (All funds are between $1 and $1,000)
Goldman Sachs Money Market
Pilgrim Mayflower ING Int. Value
John Hancock Small Cap Growth
Morgan Stanley Institutional
Pimco Multi Manager
Royce Premier
TCW Galileo Sel Equity
Vanguard Windsor II
Scudder Int'l Fund

Order to purchase above mutual funds was given on 8/16/01 and settlement occurred within 30 days

Savings

Janus Mercury Fund	$1,000 to 15,000
Janus Enterprise Fund	1,000 to 15,000
Delaware Aggressive Growth	1,000 to 15,000
College Illinois Bond	1,000 to 15,000
College Illinois Prepaid Tuition	1,000 to 15,000

Sale in 2001

Standard and Poors (SPY) stock	$1 to 1,000

Order to sell this stock was given on 8/13/01 and settlement occurred within 30 days.

Transactions: monthly contributions of $332 to College Illinois Prepaid Tuition

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(7)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:17
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Edward J. Markey
(Full Name)

2108 Rayburn HOB Washington, DC 20515
(Mailing Address)

202-225-2836
Daytime Telephone:

(Office Use Only) MC

Filer Status: [x] Member of the U.S. House of Representatives — State: MA — District 07 — [ ] Officer Or Employee — Employing Office:

Report Type: [x] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes [x] No [ ]
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes [ ] No [x]
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes [x] No [ ]
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes [x] No [ ]
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes [ ] No [x]
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes [ ] No [x]

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes [ ] No [x]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Edward J Markey	May 15, 2002

3010

SCHEDULE I - EARNED INCOME

Name Edward J. Markey

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Spouse: US Public Health Service, US Department of Health and Human Services	Spouse Salary	N/A
Spouse: Private Practice of Medicine	Fees	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward J. Markey

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Cong. Federal Credit Union Accts	$15,001 - $50,000	INTEREST	$201 - $1,000	
	Rydex OTC Investor Class	$15,001 - $50,000	NONE	NONE	
	Janus Global Technology Fund	$1,001 - $15,000	NONE	NONE	
	Salomon Smith Barney, IRA - NASDAQ 100 Trust (QQQ)	$1,001 - $15,000	NONE	NONE	
	Salomon Smith Barney, IRA - SB Money Funds Cash Port Cl. A	$1 - $1,000	NONE	NONE	
	Firsthand Technology Value Fund	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward J. Markey

	Fidelity Money Market Fund	$1 - $1,000	NONE	NONE	
JT	First Union Bank Acct	$15,001 - $50,000	INTEREST	$1 - $200	
SP	First Union Bank Acct	$15,001 - $50,000	INTEREST	$1 - $200	
SP	Morgan Stanley Dean Witter IRA - Information Fund B	$1,001 - $15,000	NONE	NONE	
SP	Morgan Stanley Dean Witter IRA - Liquid Asset Fund	$1 - $1,000	INTEREST	$1 - $200	
SP	Morgan Stanley Dean Witter IRA - NASDAQ 100 Trust Series I	$1,001 - $15,000	NONE	NONE	
SP	TIAA-CREF Retirement Annuity	$100,001 - $250,000	NONE	NONE	
SP	Fidelity Municipal Money Market	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	Janus Global Technology Fund	$50,001 - $100,000	NONE	NONE	
SP	Janus Olympus	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Rydex OTC Fund	$100,001 - $250,000	NONE	NONE	
SP	R.S. Emerging Growth Fund	$50,001 - $100,000	NONE	NONE	
SP	Firsthand Technology Value Fund	$50,001 - $100,000	CAPITAL GAINS	$201 - $1,000	
SP	Nevis Fund	$1,001 - $15,000	NONE	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward J. Markey

SP	PHBG Technology	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Edward J. Markey

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
World Economic Forum	Jan. 24 - 28	Wash., DC -- Davos, Switzerland -- Wash., DC	Y	Y	Y	0 Days
US News and World Report	Feb. 15 - 16	Wash., DC -- NY -- Wash., DC	Y	N	N	0 Days

SCHEDULE VIII - POSITIONS

Name Edward J. Markey

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Boston College Law School Board of Advisors (uncompensated)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only) MC

Frank R. Mascara
(Full Name)

031 Lincoln Avenue Charleroi, PA 15022
(Mailing Address)

(PA) 724-483-7733
(dc) 202-544-5964
(o) 202-225-4665
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: PA District: 20	☐ Officer Or Employee	Employing Office:	A $200 penalty shall be assessed against anyone who files more than 30 days late.
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:	

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Frank R. Mascara	5/9/02

3017

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank R. Mascara

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Charleroi Federal Savings Bank C.D.'s and Checking Account	$50,001 - $100,000	INTEREST	$5,001 - $15,000	
JT	National City Bank Checking	$1,001 - $15,000	NONE	NONE	
JT	National City Bank CD	None	INTEREST	$1,001 - $2,500	(E) Invested in Mellon Bank& M.V.C. FCU
JT	Mon-Valley Community FCU	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Mellon Bank (now) Citizens Bank CD Savings and Checking Account	$50,001 - $100,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank R. Mascara

	Washington County Retirement Fund	$100,001 - $250,000	NONE	NONE	
JT	Janney-Scott Montgomery	None	DIVIDENDS	$1 - $200	
JT	Pax World Fund	None	DIVIDENDS	$1 - $200	
JT	Spectra Fund	None	DIVIDENDS	NONE	
JT	Legg Mason	None	DIVIDENDS	NONE	
JT	609-11 Fallow Field Avenue, Charleroi, PA 15022	$100,001 - $250,000	RENT	$1,001 - $2,500	

SCHEDULE IV - TRANSACTIONS

Name Frank R. Mascara

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	John Hancock Financial (Common Stock)	S	09-07-01	$15,001 - $50,000
JT	Spectra Fund (Mutual Fund)	S	09-20-01	$1,001 - $15,000 (639.00) Sale Price
JT	Pax World Fund (Mutual Fund)	S	09-20-01	$1,001 - $15,000 (913.00) Sale Price
JT	Legg Mason (Mutual Fund)	S	09-20-01	$1,001 - $15,000 (829.00) Sale Price

SCHEDULE V - LIABILITIES

Name Frank R. Mascara

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Charleroi-Federal Savings Bank	Mortgage on 609-611 Fallowfield Ave, Charleroi, PA 15022	$50,001 - $100,000

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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9

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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

James David Matheson
(Full Name)

795 N. Terrace Hills Drive
(Mailing Address)

Salt Lake City UT 84103

Daytime Telephone: 202-225-3011

Filer Status	☐ Member of the U.S. House of Representatives — State: ____ District: ____	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

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TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/02

3022

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	University of Utah	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name James D. Matheson | Page 3 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(a) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		Block A	Block B	Block C	Block D	Block E
			A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock		X	X	X	P
	Examples: Simon & Schuster		Indefinite		Royalties	X	
	Examples: 1st Bank of Paducah, KY amounts		X	X	X	
	Activision Inc. Stock		X		X	
	AOL Time Warner Stock		X		X	
	Baldor Electric Stock		X	X	X	P-Dividend Reinvest
	Coin Collection		X		X	
	Liberty Newport Tiger Fund		X	X	X	P-Dividend Reinvest
	Computer Network Technology Stock		X		X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James D. Matheson

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; K $5,000,001 – $25,000,000; L $25,000,001 – $50,000,000; Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Liberty Contrarian (formerly Crabbe Huson) Equity Fund	C		I	
	Equitable Variable Life Insurance				
	Mutual Funds:				
	(1) Alliance Small Cap Growth	C	CAPITAL GAINS	II	P-Additional P and Reinvest
	(2) Alliance Common Stock	C	DIVIDENDS; CAPITAL GAINS	II	"
	(3) Alliance Equity Index	D	DIVIDENDS; CAPITAL GAINS	II	"
	(4) Alliance Global	C	CAPITAL GAINS	I	"
	(5) Alliance International	C	CAPITAL GAINS	II	"
	(6) MFS Emerging Growth	D		I	"
	Fidelity Advisor Growth Opportunities Fund	C	DIVIDENDS; CAPITAL GAINS	II	P-Div. and Cap Gain Reinvest
	Fidelity Cash Reserves	D	INTEREST	IV	
	Fidelity Export & Multinational Fund	C		I	P
	Fidelity Low Priced Stock Fund	C		I	P
	Fidelity Muni. Money Market Fund	D	INTEREST	III	
	Fidelity Spartan Muni. Income Fund	C	DIVIDENDS; CAPITAL GAINS	III	P-Reinvest
	Fidelity Spartan U.S. Equity Fund	E	DIVIDENDS; CAPITAL GAINS	III	P-Additional P and Reinvest
	Imation Corp Stock	C		I	
	Invesco Health Sciences Fund	D	CAPITAL GAINS	II	P-Reinvest
	Mutual Qualified Fund	D	DIVIDENDS; CAPITAL GAINS	IV	P-Reinvest
	Northeast Investors Trust	C	DIVIDENDS	IV	P-Additional P and Reinvest
	Novoste Corp Stock	C		I	

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3025

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James P. Matheson

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Pepsico Stock			X										X								X										P-Reinvest
	Pharmacia Corp Stock			X										X								X										P-Reinvest
	Putnam Fund for Growth + Income			X										X			X						X									P-Reinvest
	Putnam Global Growth Fund			X																	X											
	Putnam Voyager Fund			X										X			X						X									P-Reinvest
	Putnam Voyager II Fund			X																	X											
	Qualcomm Inc. Stock				X																X											
	Scudder International Fund				X									X			X					X										P-Reinvest
	Seligmann Communications and Information Fund			X										X			X					X										P-Reinvest
	T. Rowe Price Science + Tech. Fund				X																X											P-Additional Purchase
	T. Rowe Price Small Cap Stock Fund				X									X			X					X										P-Reinvest
	Ultimate Electronics Stock			X																	X											
	Vanguard Emerging Markets Index			X										X			X					X										P-Reinvest
	Vanguard Small Cap Stock Index			X										X			X					X										P-Reinvest
	Vanguard Total Stock Mkt. Index				X									X			X						X									P-Reinvest Additional
	Vanguard Wellesley Income Fund			X										X			X							X								P-Additional Reinvest
	Wasatch Micro Cap Fund					X											X								X							P-Reinvest
	Wells Fargo Bank-Checking			X												X						X										
	Zions Bank Checking				X											X						X										

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SCHEDULE IV — TRANSACTIONS

Name James D. Matheson

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Equitable Variable Life Insurance Mutual Funds														
	(1) Alliance Small Cap Stock	X			06-15-01	X									
	(2) Alliance global	X			06-15-01	X									
	(3) Alliance International	X			06-15-01	X									
	(4) Alliance Common Stock	X			06-15-01	X									
	(5) Equity 500 Index	X			06-15-01	X									
	(6) MFS Emerging Growth	X			06-15-01	X									
	Fidelity Spartan US Equity Fund: Semi-Monthly Payroll Deduction, Dividend Reinvestment 12/23/02 Purchase	X			Semi-Monthly Payroll Quarterly Dividend 12/23/02 Purchase		X								
	Mutual Qualified Fund - Dividend and Capital gain Reinvestment	X			06-22-01 12-14-01	X									
	Northeast Investors Trust: Monthly Purchases per Quarterly Reinvestment	X			Monthly Purchase Quarterly Reinvest	X									
	Vanguard Wellesley Income Fund - Quarterly	X			Quarterly Reinvest	X									
	Waratch Micro Cap Fund - Reinvest	X			10-5-01 12-14-01	X									
	Fidelity Low Priced Stock Fund	X			12-28-01	X									
	Fidelity Export and Multinational Fund	X			12-28-01	X									
	Johnson and Johnson Stock		X		12-31-01	X									
	Pride International Inc. Stock		X		12-31-01	X									

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
	Scottish Power PLC Stock		X		12-27-01	X									
	Putnam Fund for Growth + Income		X		05-24-01			X							
	Putnam Fund for Growth + Income		X		08-22-01	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Democratic Leadership Council	May 10-13	Wash, DC-Key Largo-Wash DC	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Norma W. Matheson Grandchildren's Trust for the Children of James D. Matheson

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (misc)

Use additional sheets if more space is required.

HAND DELIVERED

(7)

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 AM 9:54

OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

ROBERT TAKEO MATSUI
(Full Name)

US House of Representatives 2308 Rayburn HOB Washington, DC 20515
(Mailing Address)

(202) 225-7163
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 05	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	[signature]	MAY 14 2002

3031

SCHEDULE I - EARNED INCOME

Name ROBERT TAKEO MATSUI

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Collier, Shannon, Scott, PLLC	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT TAKEO MATSUI

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Wright Patman Congressional Federal Credit Union	$1 - $1,000	INTEREST	$1 - $200	
SP	Bank of America-checking	$1 - $1,000	INTEREST	$1 - $200	
JT	White House Federal Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Pacific Gas & Electric Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
JT	Sierra Pacific Resources Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	CALIFORNIA ST VAR PURP BOOK ENTRY BOND	$1,001 - $15,000	INTEREST	$201 - $1,000	

3033

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT TAKEO MATSUI

JT	REDDING JT PWRS FING AUTH CA WSTEWTR REV RFDG SER-A-FGIC BOND	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	PUTNAM GLOBAL GROWTH FD INC COMMON STOCK	$15,001 - $50,000	CAPITAL GAINS	NONE	
JT	CMA Fund - Merrill Lynch	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	US Treasury Notes	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	Checking Account-Bank of America, Dinuba, CA	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Cash Maximizer Account-Bank of America, Dinuba, CA (50% interest)	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Farm and Residence, Dinuba, CA (50% interest)	$250,001 - $500,000	RENT	NONE	
SP	Sun Financial Group bank account (proceeds from father's life insurance)	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Vortran Medical Technology 1, Inc.	$1 - $1,000	INTEREST	NONE	
JT	Westmed Holding Company	$1,001 - $15,000	INTEREST	NONE	
JT	Wright Patman Congressional FCU-held in trust for Brian R. Matsui	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Walt Disney Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Lucent Technologies Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name ROBERT TAKEO MATSUI

JT	Procter Gamble	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Vivendi Universal (frmr Seagram Co., Ltd.)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Comcast Corp. SPL CL A	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Oracle Corp.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Flextronics Intl, Ltd.	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name ROBERT TAKEO MATSUI

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	PG&E Corp.	S	1/12/01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name ROBERT TAKEO MATSUI

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Japanese American Association of New York	June 8	Wash., DC-New York-Wash., DC	N	Y	N	N/A
Aspen Institute	May 28-June 1	Wash., DC-Florence, Italy-Wash., DC	Y	Y	Y	N/A
Aspen Institute	Aug. 19-26	Wash., DC-Helsinki, Finland-Wash., DC	Y	Y	Y	N/A
John F. Kennedy Library & Foundation	Nov. 4	Wash., DC-Boston-Wash., DC	N	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 4:52 (51)
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Carolyn McCarthy
(Full Name)

493 Nancy Road, Mineola, New York 11501 (516) 873-9087
(Mailing Address) Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: New York District: 4th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Carolyn McCarthy	5/14/02

3038

Name	Carolyn McCarthy	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	None		

For payments to charity in lieu of honoraria, use Schedule II.

3039

Name	Page 1 of 1
Carolyn McCarthy	

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Carolyn McCarthy

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — *Examples* — SP — Mega Corp. Stock		X	X	X	P
Examples — Simon & Schuster	Indefinite			Royalties	
Examples — 1st Bank of Paducah, KY accounts		X	X	X	
See Attached Brokerage Statements					

For additional assets and unearned income, use next page.

Prudential Financial

Client Statement

PruFN.com

Retirement Account ★

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC

For The Period
December 1 - December 31, 2001

Account Number
0SU-R38289-B5

Total Account Net Worth

	OPENING	CLOSING
Priced Securities Value	$71,614.54	$72,407.18
Money Market Funds	$1,147.00	$19.00
Cash Balance	$.24	$.28
Total Net Worth	$72,761.78	$72,426.46

Your Financial Advisor: ROSMAN & STERN
1305 FRANKLIN AVENUE
SUITE 300
GARDEN CITY NY 11530
Phone: 516-741-4850
E-mail Address: lyle_s_rosman@prusec.com
wayne_stern@prusec.com
Your Branch Manager: PATRICK J. MAAS

Gain (Loss) Summary

(PLEASE REFER TO DETAILED SECTIONS)

This Period Realized Gain (Loss)	$191.10
Year To Date Realized Gain (Loss)	$1,903.95
Unrealized Gain (Loss) As Of December 31	$20,553.35

ROBERT J ECKHARDT & CO.,P.C
ONE HUNTINGTON QUADRANGLE,4S14
MELVILLE NY 11747

Income & Distributions

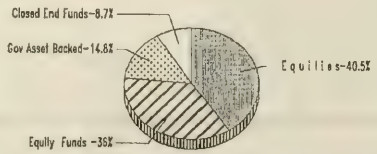
	THIS PERIOD	YEAR TO DATE
Money Fund Dividends	$2.29	$104.01
Dividends	$.00	$453.92
Interest	$175.00	$998.48
Total Income	$177.29	$1,556.41

Copy of Statement for: PRUDENTIAL SECURITIES C/F
HON CAROLYN MCCARTHY
IRA DTD 06/14/94
493 NANCY RD

Cash Activity Highlights

	THIS PERIOD	YEAR TO DATE
Opening Cash & Fund Balance	$1,147.24	
Income & Distributions In Cash	$2.29	$1,207.93
Funds Added	$.00	$2,000.00
Net Securities Bought/Sold	($6,305.25)	($14,613.30)
Net Redemptions/Exchanges	$5,175.00	$5,175.00
Funds Withdrawn	$.00	$.00
Miscellaneous	$.00	$6,249.65
Closing Cash & Fund Balance	$19.28	

Asset Composition



3042

NT3210-C-R0U-R0034

Your Personalized Financial Blueprint (CONTINUED)

* Asset-Class Methodology:
Equities - large-cap, mid-cap and small-cap value and growth,convertible preferred, and REITs
Fixed Income - long term and intermediate term taxable debt and municipal bonds, CDs, and mortgage-backed securities
Cash - money markets funds

The Historical Range of Returns represents a 90% probability of a range of return that would have been experienced over a 20-year time horizon. It should not be used to compare performance in any given year. Keep in mind, shorter periods exhibit greater volatility. For instance, if we limited the investment plan to a one-year period, there would have been a 90% probability that the return of the model asset allocation would have fallen between a low of -3.2% and a high of 17.9%. If we increased the time period to three years, the return of the model asset allocation would have had a 90% probability of falling between a low of 0.9% and a high of 13.1%. By increasing the time period to five years, the return of the model asset allocation would be 90% likely to have fallen between a low of 2.2% and a high of 11.7%. If the time period is increased to seven years, there would have been a 90% probability of return on the model asset allocation falling between 2.9% and 10.9%. At ten years, there would have been a 90% probability of the return of the model asset allocation falling between 3.5% and 10.2%. For a fifteen-year period, there would have been a 90% probability that the return of the model asset allocation would have been between 4.1% and 9.6%. And for a twenty-year period, there would have been a 90% probability that the return of the model asset allocation would have fallen between 4.5% and 9.2%.

Because market conditions change, your Blueprint model asset allocation may be automatically adjusted to reflect the past year's market data, as well as incorporating over 70 years of historical data ending December 31, 2000. In such cases, you will receive a Blueprint confirmation. If you want to change any component of your Investor Profile and/or reassess the model asset allocation and associated ranges of returns, please notify your Financial Advisor.

Please keep in mind that the calculations illustrated above are largely based on historical data, and past performance is not a guarantee of future results. Individual results will vary.

Tax Information

	2001	2000
IRA CONTRIBUTION	$2,000.00	$2,000.00

Portfolio Detail

	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
Equities-40.5% of Portfolio									
GENERAL ELECTRIC CO	GE	400	40.080	**	$16,032.00		$288	1.80%	
PROCTER & GAMBLE CO	PG	168	79.130	**	$13,293.84		$255	1.92%	
Total					$29,325.84		$543		
Government Asset Backed Securities-14.8% of Portfolio									
FINANCING CORPORATION CPN FICO STRIPS SER 13 INT PMT ON 9 60% 2018		25,000	42.920	E	$10,730.00				

3043

For The Period:
December 1 - December 31, 2001 HON CAROLYN MCCARTHY

Account Number:
0SU-R38289-B5

Portfolio Detail (CONTINUED)

	SYMBOL	QUANTITY	CURRENT PRICE	CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
Government Asset Backed Securities-14.8% of Portfolio (continued)								
RO 0.000 12/27/2014								
Total				$10,730.00				
Equity Mutual Funds-36.0% of Portfolio								
ALLIANCE SELECT INVESTOR BIOTECHNOLOGY PORTFOLIO FUND CLB	AIBDX	3,758	6.930	$26,042.94				Reinvest Div/Cap Gain
Total				$26,042.94				
Closed End Funds-8.7% of Portfolio								
PIMCO CORPORATE INCOME FUND	PCN	420	15.020	$6,308.40				
Total				$6,308.40				
TOTAL PRICED SECURITIES VALUE				$72,407.18		$543		
Money Market Funds-0.0% of Portfolio								
COMMAND MONEY FUND		19	1.000	$19.00			1.73%	7-Day Yield
TOTAL MONEY MARKET FUNDS				$19.00				

Important Message about your Unrealized Gains (Losses)

This section presents estimated unrealized gains or losses for your information only, and should not be used for tax purposes. We suggest you review it for accuracy and contact your Financial Advisor with any questions before making any investment decisions. Purchases of foreign securities reflect local (legacy) currency in the "Price or Adj Cost" column, while "Cost or Other Basis" and "Unrealized Gain (Loss)" are in US dollars. In instances where a gain (loss) has not been calculated, section and summary totals may not reflect a comprehensive view of your complete portfolio.

3044

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Retirement Account ★

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC

For The Period:
December 1 - December 31, 2001

HON CAROLYN MCCARTHY

Account Number:
0SU-R38289-B6

Unrealized Gains (Losses) Detail

	ORIGINAL TRADE DATE	QUANTITY	PRICE OR ADJ COST	CURRENT PRICE	COST OR OTHER BASIS	CURRENT VALUE	UNREALIZED GAIN OR (LOSS)
Equities							
GENERAL ELECTRIC CO	01-17-95	400	8.7083	40.080	$3,483.57	$16,032.00	$12,538.43
PROCTER & GAMBLE CO	01-17-95	168	31.4375	79.130	$5,284.40	$13,293.84	$7,999.44
Total		568			$8,767.97	$29,325.84	$20,537.87
Government Asset Backed Securities							
FINANCING CORPORATION CPN FICO STRIPS SER 13 INT PMT ON 9 60% 2018 RO 0 000 12/27/2014	04-20-01	25,000	43.000	42.920 E	$10,755.25	$10,730.00	($25.25)
Total		25,000			$10,755.25	$10,730.00	($25.25)
Equity Mutual Funds							
ALLIANCE SELECT INVESTOR BIOTECHNOLOGY PORTFOLIO FUND CLB	04-20-01	3,768	6.920	6.930	$26,005.36	$26,042.94	$37.58
Cost of Current Holdings (excluding reinvestments)				$26,005.36			
Current Value of Total Holdings (including reinvestments)				$26,042.94			
Total		3,768			$26,005.36	$26,042.94	$37.58

If a portion of your fund position was sold or converted, the "Current Value of Total Holdings" may include reinvestments from previously held positions.

Closed End Funds							
PIMCO CORPORATE INCOME FUND	12-18-01	420	15.000	15.020	$6,305.25	$6,308.40	$3.15
Total		420			$6,305.25	$6,308.40	$3.15
TOTAL UNREALIZED GAINS (LOSSES)					$51,853.83	$72,407.18	$20,553.35

Important Message about your Realized Gains (Losses)

This section presents estimated realized gains or losses for your information only, and should not be used for tax purposes. To calculate gains or losses, the oldest position has been liquidated first unless you specified otherwise (a "versus purchase" order). We suggest you review it for accuracy and contact your Financial Advisor with any questions before making any investment decisions. Purchases of foreign securities reflect local (legacy) currency in the "Price or Adj Cost" column, while "Cost or Other Basis" and "Realized Gain (Loss)" are in US dollars. In instances where a gain (loss) has not been calculated, section and summary totals may not reflect a comprehensive view of your complete portfolio.

3045

Prudential Financial

Client Statement

PruFN.com

Retirement Account ☆

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC

For The Period:
December 1 - December 31, 2001

HON CAROLYN MCCARTHY

Account Number:
0SU-R38289-B5

Realized Gains (Losses) Detail

	ORIGINAL TRADE DATE	CLOSING TRADE DATE	QUANTITY	PRICE OR ADJ COST	CLOSING PRICE	COST OR OTHER BASIS	PROCEEDS	REALIZED GAIN OR (LOSS)
CALLED WALT DISNEY CO MEDIUM TERM NOTES RO JD 7.000 12/14/2006 DTD 12/14/99 FULLY CALLED 12/14/2001 AT 100.00 BOOK ENTRY ONLY	02-17-00	12-14-01	5,000	96.073	100.000	$4,808.90	$5,000.00	$191.10
TOTAL REALIZED GAINS (LOSSES)								$191.10

Account Activity

	DATE	TRANSACTION	QUANTITY	PRICE/COMMENTS	AMOUNT DEBITED	AMOUNT CREDITED
CALLED WALT DISNEY CO MEDIUM TERM NOTES RO JD 7.000 12/14/2006 DTD 12/14/99 FULLY CALLED 12/14/2001 AT 100.00 ACCRUED INTEREST RECEIVED: $175.00	12/14	Full Call	-5,000	100.0000		$5,175.00
COMMAND MONEY FUND	12/17	Purchased	5,175	1.00	$5,175.00	
COMMAND MONEY FUND	12/21	Sold	-6,306	1.00		$6,306.00
PIMCO CORPORATE INCOME FUND	12/21	Purchased	420	15.00	$6,305.25	
COMMAND MONEY FND DIV REINV 11/26-12/30	12/28	Dividend	2	Money Fund		$.29
COMMAND MONEY FUND	12/31	Purchased	1	1.00	$1.00	

All accrued interest received is included in either the 'Municipal Income' or 'Interest' category

WITH THE NEW YEAR UPON US, WE AT PRUDENTIAL SECURITIES WANT TO WISH YOU A HEALTHY AND PROSPEROUS 2002!

Prudential Financial **Client Statement** ProFN.com

COMMAND Account ★

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC

For The Period:
December 1 - December 31, 2001

Account Number:
0AA-869064-B5

Total Account Net Worth

	OPENING	CLOSING
Priced Securities Value	$274,518.25	$273,215.15
Money Market Funds	$57,108.00	$65,713.00
Cash Balance	$4,741.20	$3,541.19
Total Net Worth	$336,367.45	$342,469.34
Available For Checkwriting And Visa		$66,431.23

Gain (Loss) Summary

(PLEASE REFER TO DETAILED SECTIONS)

Year To Date Realized Gain (Loss)	($16,652.92)
Unrealized Gain (Loss) As Of December 31	$9,204.60

Income & Distributions

	THIS PERIOD	YEAR TO DATE
Money Fund Dividends	$108.77	$4,564.59
Dividends	$.00	$237.47
Capital Gain Distribution	$.00	$17.66
Interest	$.00	$1,875.00
Municipal Income	$2,600.00	$11,321.36
Total Income	$2,708.77	$18,016.08

Cash Activity Highlights

	THIS PERIOD	YEAR TO DATE
Opening Cash & Fund Balance	$61,849.20	
Income & Distributions In Cash	$2,708.77	$17,628.37
Funds Added	$56,805.57	$508,167.45
Net Securities Bought/Sold	$.00	$261,549.98
Net Redemptions/Exchanges	$.00	$25,000.00
Funds Withdrawn	($2,435.49)	($427,548.66)
Visa Card Activity	($2,814.93)	($25,365.37)
Checking & Billpay	($46,858.93)	($518,060.29)
Miscellaneous	$.00	$227,902.71
Closing Cash & Fund Balance	$69,254.19	

Your Financial Advisor: ROSMAN & STERN
1305 FRANKLIN AVENUE
SUITE 300
GARDEN CITY NY 11530
Phone 516-741-4850

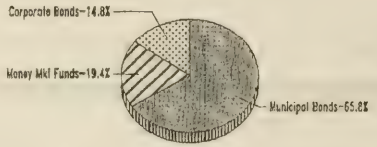
E-mail Address: lyle_s_rosman@prusec.com
wayne_stern@prusec.com

Your Branch Manager: PATRICK J MAAS

ROBERT J ECKHARDT & CO.,P.C
ONE HUNTINGTON QUADRANGLE,4S14
MELVILLE NY 11747

Copy of Statement for: HON CAROLYN MCCARTHY
493 NANCY ROAD
MINEOLA NY 11501-1124

Asset Composition



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Your Personalized Financial Blueprint (continued)

* Asset-Class Methodology:
Equities - large-cap, mid-cap and small-cap value and growth,convertible preferred, and REITs
Fixed Income - long term and intermediate term taxable debt and municipal bonds, CDs, and mortgage-backed securities
Cash - money markets funds

The Historical Range of Returns represents a 90% probability of a range of return that would have been experienced over a 20-year time horizon. It should not be used to compare performance in any given year. Keep in mind, shorter periods exhibit greater volatility. For instance, if we limited the investment plan to a one-year period, there would have been a 90% probability that the return of the model asset allocation would have fallen between a low of -3.2% and a high of 17.9%. If we increased the time period to three years, the return of the model asset allocation would have had a 90% probability of falling between a low of 0.9% and a high of 13.1%. By increasing the time period to five years, the return of the model asset allocation would be 90% likely to have fallen between a low of 2.2% and a high of 11.7%. If the time period is increased to seven years, there would have been a 90% probability of return on the model asset allocation falling between 2.9% and 10.9%. At ten years, there would have been a 90% probability of the return of the model asset allocation falling between 3.5% and 10.2%. For a fifteen-year period, there would have been a 90% probability that the return of the model asset allocation would have been between 4.1% and 9.6%. And for a twenty-year period, there would have been a 90% probability that the return of the model asset allocation would have fallen between 4.5% and 9.2%.

Because market conditions change, your Blueprint model asset allocation may be automatically adjusted to reflect the past year's market data, as well as incorporating over 70 years of historical data ending December 31, 2000. In such cases, you will receive a Blueprint confirmation. If you want to change any component of your Investor Profile and/or reassess the model asset allocation and associated ranges of returns, please notify your Financial Advisor.

Please keep in mind that the calculations illustrated above are largely based on historical data, and past performance is not a guarantee of future results. Individual results will vary.

Portfolio Detail

	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
Corporate Bonds-14.8% of Portfolio									
PACIFIC BELL DEBENTURES RO FA 7.500 02/01/2033 DTD 02/01/93 CALLABLE 02/01/2003 AT 102.04		50,000	100.318	E	$50,159.00	$1,563	$3,750	7.48%	Rating: AA3/AA-
Total		50,000			$50,159.00	$1,563	$3,750		
Municipal Bonds-65.8% of Portfolio									
SUFFOLK CO NY IND DEV AGENCY REVENUE SUFFOLK CO SOUTHWEST SWR DIST SER 1994 RO FA 4.500 02/01/2002 DTD 02/24/94 BOOK ENTRY ONLY		55,000	100.248	E	$55,135.30	$1,031	$2,475	4.49%	Rating: AAA/AAA FGIC Insured
WARWICK VALLEY CENT SCH DIST N Y G.O. ORANGE CNTY SERIES B RO JD 5.300 06/15/2003 DTD 06/15/89 BOOK ENTRY ONLY		50,000	104.268	E	$52,134.00	$118	$2,650	5.08%	Rating: AAA/NR FGIC Insured
WARWICK VALLEY CENT SCH DIST N Y G.O. ORANGE CNTY SERIES A RO JD 5.100 06/15/2004 DTD 06/15/99		50,000	105.359	E	$52,679.50	$113	$2,550	4.84%	Rating: AAA/NR MBIA Insured

3048

Portfolio Detail (CONTINUED)

	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
Municipal Bonds-65.8% of Portfolio		(continued)							
BOOK ENTRY ONLY									
JAMESTOWN N Y PUB IMPT SER A GENL OBLIG RO MN 4.900 11/15/2005 DTD 05/15/89 BOOK ENTRY ONLY		25,000	105.992	E	$26,498.00	$157	$1,225	4.62%	Rating: AAA/NR AMBAC Insured
NEW YORK ST DORM AUTH REVS MENTAL HLTH SVCS FACS IMPT G RO FA 5.250 08/15/2013 DTD 10/01/98 CALL 08/15/2008 101.00 BOOK ENTRY ONLY		15,000	103.141	E	$15,471.15	$297	$788	5.09%	Rating: AAA/AAA AMBAC Insured
NEW YORK ST URBAN DEVELOPMENT CORP YOUTH FACILITIES REV BDS SER 1994 RO AO 5.700 04/01/2014 DTD 03/15/94 CALL 04/01/2004 102.00 BOOK ENTRY ONLY		20,000	105.691	E	$21,138.70	$785	$1,140	5.39%	Rating: AAA/AAA MBIA Insured
Total		215,000			$223,056.15	$2,001	$10,828		
TOTAL PRICED SECURITIES VALUE					$273,215.15	$3,564	$14,578		
Money Market Funds-19.4% of Portfolio									
COMMAND MONEY FUND		65,713	1.000		$65,713.00		$1,137	1.73%	7-Day Yield
TOTAL MONEY MARKET FUNDS					$65,713.00		$1,137		

3049

Prudential Financial — Client Statement — PruFN.com

Securities Account ★

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC

For The Period:
December 1 - December 31, 2001

Account Number
MAC-209649-B5

Total Account Net Worth

	OPENING	CLOSING
Priced Securities Value	$287,652.65	$281,058.40
Money Market Funds	$8,239.04	$13,030.50
Cash Balance	$.07	$.72
Total Net Worth	$295,891.76	$294,089.62

Gain (Loss) Summary

(PLEASE REFER TO DETAILED SECTIONS)

This Period Realized Gain (Loss)	$1,642.08
Year To Date Realized Gain (Loss)	($311.37)
Unrealized Gain (Loss) As Of December 31	$14,482.93

Income & Distributions

	THIS PERIOD	YEAR TO DATE
Money Fund Dividends	$20.46	$420.46
Dividends	$168.65	$1,494.39
Total Income	$189.11	$1,914.85

Cash Activity Highlights

	THIS PERIOD	YEAR TO DATE
Opening Cash & Fund Balance	$8,239.11	
Income & Distributions In Cash	$189.11	$1,911.76
Funds Added	$.00	$174,870.00
Net Securities Bought/Sold	$4,603.00	($163,348.24)
Net Redemptions/Exchanges	$.00	$48.01
Funds Withdrawn	$.00	$.00
Miscellaneous	$.00	($4,437.84)
Closing Cash & Fund Balance	$13,031.22	

Your Financial Advisor: ROSMAN & STERN
FINANCIAL ADVISOR

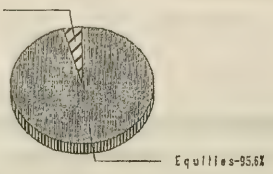
E-mail Address: lyle_s_rosman@prusec.com
wayne_stern@prusec.com

Your Investment Advisor: RITTENHOUSE FINANCIAL SERVICES

ROBERT J ECKHARDT & CO.,P.C
ONE HUNTINGTON QUADRANGLE,4S14
MELVILLE NY 11747

Copy of Statement for: HON CAROLYN MC CARTHY
493 NANCY RD
MINEOLA NY 11501-1124

Asset Composition



3050

Your Personalized Financial Blueprint (continued)

* Asset-Class Methodology:
Equities - large-cap, mid-cap and small-cap value and growth, convertible preferred, and REITs
Fixed Income - long term and intermediate term taxable debt and municipal bonds, CDs, and mortgage-backed securities
Cash - money markets funds

The Historical Range of Returns represents a 90% probability of a range of return that would have been experienced over a 20-year time horizon. It should not be used to compare performance in any given year. Keep in mind, shorter periods exhibit greater volatility. For instance, if we limited the investment plan to a one-year period, there would have been a 90% probability that the return of the model asset allocation would have fallen between a low of -3.2% and a high of 17.9%. If we increased the time period to three years, the return of the model asset allocation would have had a 90% probability of falling between a low of 0.9% and a high of 13.1%. By increasing the time period to five years, the return of the model asset allocation would be 90% likely to have fallen between a low of 2.2% and a high of 11.7%. If the time period is increased to seven years, there would have been a 90% probability of return on the model asset allocation falling between 2.9% and 10.9%. At ten years, there would have been a 90% probability of the return of the model asset allocation falling between 3.5% and 10.2%. For a fifteen-year period, there would have been a 90% probability that the return of the model asset allocation would have been between 4.1% and 9.6%. And for a twenty-year period, there would have been a 90% probability that the return of the model asset allocation would have fallen between 4.5% and 9.2%.

Because market conditions change, your Blueprint model asset allocation may be automatically adjusted to reflect the past year's market data, as well as incorporating over 70 years of historical data ending December 31, 2000. In such cases, you will receive a Blueprint confirmation. If you want to change any component of your Investor Profile and/or reassess the model asset allocation and associated ranges of returns, please notify your Financial Advisor.

Please keep in mind that the calculations illustrated above are largely based on historical data, and past performance is not a guarantee of future results. Individual results will vary.

Portfolio Detail

	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
Equities-95.6% of Portfolio									
AMERICAN INTERNATIONAL GROUP INC	AIG	189	79.400	**	$15,006.60		$32	.21%	
AMGEN INC	AMGN	191	55.440	**	$10,780.04				
AOL TIME WARNER INC	AOL	118	32.100	**	$3,787.80				
AUTOMATIC DATA PROCESSING INC	ADP	187	58.900	**	$11,014.30		$86	.78%	
BAXTER INTERNATIONAL INC	BAX	55	53.630	**	$2,949.65		$32	1.08%	
BRISTOL MYERS SQUIBB CO	BMY	210	51.000	**	$10,710.00		$235	2.19%	
CARDINAL HEALTH INC	CAH	146	64.660	**	$9,440.36		$15	.16%	
CISCO SYSTEMS INC	CSCO	285	18.110	**	$5,161.35				
COLGATE PALMOLIVE CO	CL	215	57.750	**	$12,416.25		$155	1.25%	
E M C CORP MASS	EMC	169	13.440	**	$2,271.36				
ELECTRONIC DATA SYSTEMS CORP	EDS	69	68.550	**	$4,729.95		$41	.87%	
FANNIE MAE	FNM	133	79.500	**	$10,573.50		$160	1.51%	
GENERAL ELECTRIC CO	GE	368	40.080	**	$14,749.44		$265	1.80%	

3051

For The Period:
December 1 - December 31, 2001

HON CAROLYN MC CARTHY

Account Number:
MAC-209649-B5

Portfolio Detail (CONTINUED)

	SYMBOL	QUANTITY	CURRENT PRICE	CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
Equities-95.6% of Portfolio		(continued)						
HOME DEPOT INC	HD	206	51.010 **	$10,508.06		$41	.39%	
INTERNATIONAL BUSINESS MACHINES	IBM	83	120.960 **	$10,039.68		$46	.46%	
JOHNSON & JOHNSON	JNJ	108	59.100 **	$6,382.80		$78	1.22%	
MBNA CORP	KRB	323	35.200 **	$11,369.60		$116	1.02%	
MEDTRONIC INC	MDT	230	51.210 **	$11,778.30		$53	.45%	
MERCK & CO	MRK	80	58.800 **	$4,704.00		$112	2.38%	
MICROSOFT CORP WASHINGTON	MSFT	165	66.250 **	$10,931.25				
NOKIA CORP SPONSORED AMERICAN DEP RECEIPT ONE ADR REP ONE SHS	NOK	209	24.530 **	$5,122.24		$44	.86%	
ORACLE CORP	ORCL	201	13.810 **	$2,775.81				
PEPSICO INC	PEP	126	48.690 **	$6,134.94		$73	1.19%	
PFIZER INC	PFE	395	39.850 **	$15,740.75		$205	1.30%	
STATE STREET CORP	STT	165	52.250 **	$8,621.25		$73	.85%	
SUN MICROSYSTEMS INC	SUNW	203	12.300 **	$2,496.90				
SYSCO CORP	SYY	104	26.220 **	$2,726.88		$37	1.36%	
TARGET CORP	TGT	125	41.050 **	$5,131.25		$28	.55%	
TEXAS INSTRUMENTS INC	TXN	245	28.000 **	$6,860.00		$21	.31%	
TYCO INTERNATIONAL LTD NEW	TYC	239	58.900 **	$14,077.10		$12	.09%	
USA EDUCATION INC	SLM	14	84.020	$1,176.28		$11	.94%	
WAL MART STORES INC	WMT	228	57.550 **	$13,121.40		$64	.49%	
WALGREEN CO	WAG	287	33.660 **	$9,660.42		$42	.43%	
WELLS FARGO AND CO NEW	WFC	187	43.470 **	$8,128.89		$194	2.39%	
TOTAL PRICED SECURITIES VALUE				**$281,058.40**		**$2,271**		
Money Market Funds-4.4% of Portfolio								
CAT NATIONAL MONEY MKT FUND		13,030.500	1.000	$13,030.50		$211	1.62%	7-Day Yield
TOTAL MONEY MARKET FUNDS				**$13,030.50**		**$211**		

Securities Account ★ This Period Account History **Prudential Financial**

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC www.prudential.com

FOR THE PERIOD:
Dec 1 - Dec 31, 2001

ACCOUNT NUMBER:
MAC-[illegible]-86

TOTAL ACCOUNT NET WORTH	OPENING	CLOSING
Priced Securities Value	$260,338.55	$266,689.09
Money Market Funds	$26,532.00	$32,948.00
Cash Balance	$.17	$2.99
Total Net Worth	$286,870.72	$299,620.08

GAIN (LOSS) SUMMARY	(PLEASE REFER TO DETAILED SECTIONS)
This Period Realized Gain (Loss)	($390.45)
April 20 To Date Realized Gain (Loss)	$6,463.55
Unrealized Gain (Loss) As Of December 31	($8,586.92)

INCOME & DISTRIBUTIONS	THIS PERIOD	YEAR TO DATE
Money Fund Dividends	$46.67	$424.03
Dividends	$285.78	$1,673.12
Total Income	$332.85	$2,097.15

CASH ACTIVITY HIGHLIGHTS	THIS PERIOD	YEAR TO DATE
Opening Cash & Fund Balance	$26,532.17	
Income & Distributions In Cash	$332.85	$2,097.15
Funds Added	$.00	$221,870.00
Net Securities Bought/Sold	$8,085.17	($186,569.02)
Net Redemptions/Exchanges	$.00	$52.72
Funds Withdrawn	$.00	$.00
Miscellaneous	$.00	($3,499.26)
Closing Cash & Fund Balance	$33,950.99	

Your Financial Advisor:
ROSMAN & STERN
PLEASE CONTACT
YOUR PRUDENTIAL SECURITIES
FINANCIAL ADVISOR

E-Mail Address:
lyle_e_rosman@prusec.com
wayne_stern@prusec.com

Your Investment Advisor:
DAVIS SELECTED ADVISORS

HON CAROLYN MCCARTHY
493 NANCY RD
MINEOLA NY 11501-1924

Trading authorization has been given to: DAVIS SELECTED ADVISORS

ASSET COMPOSITION

EQUITIES - 88.3% MONEY MKT FUNDS - 11.7%

Securities Account ★ This Period Account History **Prudential Financial**

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FOR THE PERIOD:
Dec 1 - Dec 31, 2001

HON CAROLYN MCCARTHY

ACCOUNT NUMBER:
MAC-616074-85

Your Personalized Financial Blueprint (CONTINUED)

You are reminded to consider your other assets, income and investments (e.g., equity in a home; interests in qualified and non-qualified plans; saving accounts) in deciding whether to apply a particular model asset allocation to your individual situation. The model asset allocation is provided for informational and education purposes only. It is not designed to recommend investments in a particular security or offer advice that you may rely on as a primary basis for investment.

* Asset-Class Methodology:
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PORTFOLIO DETAIL

EQUITIES-88.3% OF PORTFOLIO	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
AGERE SYS INC CL A	AGRA	620	5.690	**	$3,527.80				CUSIP 00845V100
AMERICAN EXPRESS CO	AXP	530	35.690	**	$18,915.70		$170	.90%	CUSIP 025816109
AMERICAN INTERNATIONAL GROUP INC	AIG	140	79.400	**	$11,116.00		$24	.22%	CUSIP 026874107
AON CORP	AOC	80	35.520	**	$2,841.60		$72	2.53%	CUSIP 037389103
BANK ONE CORP	ONE	110	39.050	**	$4,295.50		$92	2.14%	CUSIP 06423A103
BERKSHIRE HATHAWAY INC CLASS B HLDG CO	BRKB	3	2,525.000	**	$7,575.00				CUSIP 084670207
CITIGROUP INC	C	255	50.400	**	$12,852.40		$163	1.27%	CUSIP 172967101

Securities Account ★ This Period Account History Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company and a member of SIPC www.prudential.com

FOR THE PERIOD:
Dec 1 - Dec 31, 2001

HON CAROLYN MCCARTHY

ACCOUNT NUMBER:
MAC 419074-68

PORTFOLIO DETAIL - (CONTINUED)

	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
EQUITIES-88.1% OF PORTFOLIO (CONTINUED)									
COSTCO WHOLESALE CORP	COST	255	44.350	**	$11,518.80				CUSIP 22160K105
DEVON ENERGY CORP	DVN	65	50.650	**	$3,285.25		$17	.52%	CUSIP 25179M103
DOVER CORP DELAWARE	DOV	95	37.070	**	$3,521.65		$51	1.45%	CUSIP 260003108
DUN & BRADSTREET CORP DEL NEW	DNB	90	35.300	**	$3,177.00				CUSIP 26483E100
GOLDEN WEST FINL CORP DELAWARE	GDW	110	58.650	**	$6,451.50		$32	.49%	CUSIP 381317106
HEWLETT PACKARD CO	HWP	250	20.540	**	$5,135.00		$80	1.56%	CUSIP 428236103
HOUSEHOLD INTERNATIONAL INC	HI	280	57.940	**	$16,224.40		$229	1.52%	CUSIP 441815107
KINDER MORGAN INC	KMI	73	55.690	**	$4,065.37		$15	.37%	CUSIP 49455P101
LEXMARK INTERNATIONAL INC CLA	LXK	100	59.000	**	$5,900.00				CUSIP 529771107
LILLY ELI & CO	LLY	100	79.540	**	$7,954.00		$124	1.56%	CUSIP 532457108
LOEWS CORP	LTR	59	55.383	**	$3,267.42		$35	1.07%	CUSIP 540424108
MARRIOTT INTERNATIONAL INC NEW CLASS A	MAR	60	40.650	**	$2,439.00		$16	.66%	CUSIP 571903202
MASCO CORP DELAWARE	MAS	325	24.500	**	$7,962.50		$176	2.21%	CUSIP 574599106
MCDONALDS CORP	MCD	190	28.470	**	$5,409.30		$43	.85%	CUSIP 580135101
MERCK & CO	MRK	205	58.800	**	$12,054.00		$287	2.38%	CUSIP 589331107
MINNESOTA MINING MANUFACTURING CO	MMM	45	116.210	**	$5,319.45		$108	2.03%	CUSIP 604059105
MOODYS CORP	MCO	75	39.860	**	$2,989.50		$14	.47%	CUSIP 615369105
MORGAN STANLEY DEAN WITTER & CO	MWD	85	55.940	**	$4,754.90		$78	1.64%	CUSIP 617446448
PHILIP MORRIS COS INC	MO	275	45.850	**	$12,608.75		$638	5.06%	CUSIP 718154107
PHILLIPS PETROLEUM CO	P	110	60.250	**	$6,627.50		$156	2.36%	CUSIP 718507106
PROGRESSIVE CORP OHIO	PGR	30	149.300		$4,479.00		$8	.16%	CUSIP 743315103
SAFEWAY INC	SWY	80	41.750	**	$3,340.00				CUSIP 786514208

Securities Account ★ This Period Account History Prudential Financial

Securities, products and services are offered through Prudential Securities Incorporated, a Prudential Company and a member of SIPC. www.prudential.com

FOR THE PERIOD:
Dec 1 - Dec 31, 2001

HON CAROLYN MCCARTHY

ACCOUNT NUMBER:
MAC-#16074-86

PORTFOLIO DETAIL (CONTINUED)

	SYMBOL	QUANTITY	CURRENT PRICE		CURRENT VALUE	ESTIMATED ACCRUED INTEREST	ESTIMATED ANNUALIZED INCOME	CURRENT YIELD	COMMENTS
EQUITIES-88.3% OF PORTFOLIO (CONTINUED)									CUSIP 512211K100
SEALED AIR CORP NEW	SEE	165	40.820		$6,735.30				CUSIP 679664100
TELLABS INC DELAWARE	TLAB	410	14.060	**	$5,133.60				CUSIP 693521104
TRANSATLANTIC HOLDINGS INC	TRH	72	91.000	**	$6,552.00		126	.43%	CUSIP 902124106
TYCO INTERNATIONAL LTD NEW	TYC	295	58.900	**	$17,376.50		15	.09%	CUSIP 911312106
UNITED PARCEL SERVICE CLASS B	UPS	175	54.500	**	$9,537.50		133	1.39%	CUSIP 929160109
VULCAN MATERIALS CO	VMC	50	47.940	**	$2,397.00		345	1.85%	CUSIP 949746101
WELLS FARGO AND CO NEW	WFC	210	43.470	**	$9,128.70		216	2.39%	
TOTAL PRICED SECURITIES VALUE					$266,819.08		$3,069		
MONEY MARKET FUNDS-11.7% OF PORTFOLIO									
COMMAND MONEY FUND		33,948	1.000		$33,948.00		$587	1.73%	7-Day Yield CUSIP 200990918
TOTAL MONEY MARKET FUNDS					$33,948.00		$587		

2001 Consolidated Statement

Securities Account

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential comp

HON CAROLYN MCCARTHY | Jan 1 - Dec 31, 2001 | Account Number: 03T-868531-V1 |

Dividends Received on Securities

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS	LINE(S)	REPORTED ON
1	AFO EXCHANGE RESERVES INC CLASS A	17.60	INCOME		1	1099-DIV
1	COMMAND MONEY FUND	997.08	INCOME		1	1099-DIV
1	COMPUTER ASSOCIATES INTL INC	28.00	INCOME		1	1099-DIV
1	MONTG SHT GOVT BD	64.63	INCOME		1	1099-DIV

Total Income - Dividends $1,107.21

The line numbers referenced for individual items above comprise the totals which appear on the actual Form 1099-DIV, reflected on the first page of this statement.

Municipal Interest

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS
5	NUV NY PP M/A/R PRM	92.67	MUNICIPAL	
5	NUV NY PERF/P MF PRT	90.86	MUNICIPAL	
5	NUV N Y INV QU/MFPRM	89.17	MUNICIPAL	
1	SUFFOLK CO NY IDA RO FA 4.50 02/01/2002	1,237.50	MUNICIPAL	

Total Income - Municipal $1,510.20

Prudential Securities is required to report this municipal income to the state of New York.

Reinvestment Activity

DESCRIPTION	SHARES PURCHASED	AVG. PRICE PER SHARE	REINVEST AMOUNT
MONTG SHT GOVT BD	6.355	10.17	64.63

Total Reinvested $64.63

Other Interest

PAYMENTS	PAYOR		DOLLAR AMOUNT	TAX CLASS	COMMENTS	REPORTED ON
	AT&T CORP	RO JJ 8.12 07/15/2024	1,895.83	ACCRUED INT		1099-INT
1	PAC BELL	RO FA 7.50 02/01/2033	1,875.00	INCOME		1099-INT

Total Income - Other Interest $3,770.83

Dividends Received on Securities

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS		LINE(S)	REPORTED ON
4	AMERICAN INTERNATIONAL GROUP INC	22.24	INCOME			1	1099-DIV
4	AUTOMATIC DATA PROCESSING INC	57.52	INCOME			1	1099-DIV
4	BRISTOL MYERS SQUIBB CO	142.18	INCOME			1	1099-DIV
1	CVS CORP DELAWARE	3.74	INCOME			1	1099-DIV
4	CARDINAL HEALTH INC	8.56	INCOME			1	1099-DIV
13	CAT NTL MONEY FD	420.46	INCOME			1	1099-DIV
2	COCA COLA CO DELAWARE	38.16	INCOME			1	1099-DIV
4	COLGATE PALMOLIVE CO	105.22	INCOME			1	1099-DIV
1	ELECTRONIC DATA SYSTEMS CORP	7.20	INCOME			1	1099-DIV
1	ENRON CORP OREGON	9.50	INCOME			1	1099-DIV
4	FANNIE MAE	155.50	INCOME			1	1099-DIV
4	GENERAL ELECTRIC CO	151.52	INCOME			1	1099-DIV
1	HEWLETT PACKARD CO	5.40	INCOME			1	1099-DIV
4	HOME DEPOT INC	30.22	INCOME			1	1099-DIV
4	INTERNATIONAL BUSINESS MACHINES	33.55	INCOME			1	1099-DIV
2	JOHNSON & JOHNSON	27.18	INCOME			1	1099-DIV
4	MBNA CORP	58.67	INCOME			1	1099-DIV
4	MEDTRONIC INC	32.29	INCOME			1	1099-DIV
4	MERCK & CO	121.44	INCOME			1	1099-DIV
1	NOKIA CORP S/ADR	20.60	INCOME	INCLUDES FOREIGN TAX OF	03.09	1,6	1099-DIV
1	PEPSICO INC	7.40	INCOME			1	1099-DIV
4	PFIZER INC	126.50	INCOME			1	1099-DIV
2	SCHERING PLOUGH CORP	25.50	INCOME			1	1099-DIV
4	STATE STREET CORP	53.60	INCOME			1	1099-DIV
1	SYSCO CORP	7.28	INCOME			1	1099-DIV
3	TARGET CORP	16.78	INCOME			1	1099-DIV
4	TEXAS INSTRUMENTS INC	14.02	INCOME			1	1099-DIV
4	TYCO INTERNATIONAL LTD NEW	7.71	INCOME			1	1099-DIV
2	USA EDUCATION INC	6.25	INCOME			1	1099-DIV
4	WAL MART STORES INC	35.87	INCOME			1	1099-DIV
4	WALGREEN CO	33.47	INCOME			1	1099-DIV
4	WELLS FARGO AND CO NEW	152.12	INCOME			1	1099-DIV

Total Dividends 1,914.85

11 11845

3058

Realized Gain (Loss) Detail

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term						
CARDINAL HEALTH INC	01-18-01	04-26-01	0.500	$33.00	$31.55	$1.45

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
ZIMMER HLDGS INC	01-19-01	08-30-01	2.300	$62.10	$76.78	($14.68)
ZIMMER HLDGS INC	04-26-01	08-30-01	7.500	$202.50	$214.18	($11.68)
WALT DISNEY HOLDINGS CO	04-26-01	09-26-01	70	$1,225.14	$2,223.90	($998.76)
WALT DISNEY HOLDINGS CO	09-06-01	09-26-01	55	$962.61	$1,343.10	($380.49)
MERCK & CO	04-26-01	09-26-01	5	$316.50	$375.20	($58.70)
CVS CORP DELAWARE	04-26-01	10-16-01	65	$2,141.28	$3,711.50	($1,570.22)
CVS CORP DELAWARE	09-06-01	10-16-01	20	$658.86	$738.00	($79.14)
ENRON CORP OREGON	06-26-01	10-31-01	76	$1,005.71	$3,325.85	($2,320.14)
ENRON CORP OREGON	09-06-01	10-31-01	25	$330.83	$760.75	($429.92)
Total Short Term Realized Gains (Losses)				$6,938.53	$12,800.81	($5,862.28)
Long Term						
HEWLETT PACKARD CO	10-24-97	01-18-01	70	$2,404.43	$1,757.44	$646.99
INTEL CORP	11-07-97	01-18-01	12	$382.69	$228.90	$153.79
INTEL CORP	03-02-98	01-18-01	60	$1,913.43	$1,360.49	$552.94
MERCK & CO	10-24-97	01-18-01	22	$1,833.79	$1,039.50	$794.29
MCDATA CORP	10-29-99	02-13-01	0.539	$15.01	$12.26	$2.75
MCDATA CORP	11-01-99	02-21-01	1	$23.75	$23.25	$0.50
MCDATA CORP	01-10-00	02-21-01	1	$23.75	$32.64	($8.89)

NOT ON 1099B

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Realized Gain (Loss) Detail
(CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
WELLS FARGO AND CO NEW	11-07-97	04-03-01	40	$1,970.62	$1,273.74	$696.88
WELLS FARGO AND CO NEW	11-10-97	04-03-01	8	$394.12	$262.13	$131.99
TEXAS INSTRUMENTS INC	01-07-00	06-22-01	24	$734.68	$1,106.57	($371.89)
TEXAS INSTRUMENTS INC	01-11-00	06-22-01	11	$336.73	$560.33	($223.60)
WALGREEN CO	12-08-98	06-26-01	69	$2,531.00	$1,951.85	$579.15
COLGATE PALMOLIVE CO	10-24-97	07-20-01	34	$1,895.57	$1,226.13	$669.44
AUTOMATIC DATA PROCESSING INC	10-24-97	07-25-01	36	$1,849.24	$922.50	$926.74
COCA COLA CO DELAWARE	10-24-97	07-25-01	65	$2,898.22	$3,672.50	($774.28)
COCA COLA CO DELAWARE	09-11-98	07-25-01	25	$1,114.70	$1,564.93	($450.23)
COCA COLA CO DELAWARE	10-11-99	07-25-01	16	$713.41	$840.83	($127.42)
SCHERING PLOUGH CORP	10-24-97	07-25-01	85	$3,190.31	$2,515.47	$674.84
ZIMMER HLDGS INC	04-26-00	08-30-01	3.700	$99.90	$96.59	$3.31
ZIMMER HLDGS INC	05-26-00	08-30-01	2.500	$67.50	$70.53	($3.03)
WALT DISNEY HOLDINGS CO	10-24-97	09-26-01	88	$1,540.18	$2,436.50	($896.32)
MERCK & CO	10-24-97	09-26-01	58	$3,671.40	$2,740.50	$930.90
FANNIE MAE	10-24-97	12-07-01	32	$2,456.19	$1,564.00	$892.19
STATE STREET CORP	07-22-98	12-10-01	20	$1,073.41	$697.75	$375.66
STATE STREET CORP	07-23-98	12-10-01	20	$1,073.40	$699.19	$374.21
Total Long Term Realized Gains (Losses)				$34,207.43	$28,656.52	$5,550.91

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company

Dividends Received on Securities

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS	LINE(S)	REPORTED ON
2	AMERICAN EXPRESS CO	73.60	INCOME		1	1099-DIV
3	AMERICAN HOME PRODUCTS CORP	95.45	INCOME		1	1099-DIV
3	AMERICAN INTERNATIONAL GROUP INC	14.57	INCOME		1	1099-DIV
1	AON CORP	18.00	INCOME		1	1099-DIV
2	BANK ONE CORP	33.60	INCOME		1	1099-DIV
2	BRISTOL MYERS SQUIBB CO	82.51	INCOME		1	1099-DIV
3	CITIGROUP INC	100.80	INCOME		1	1099-DIV
9	COMMAND MONEY FUND	405.40	INCOME		1	1099-DIV
3	DEVON ENERGY CORP	10.50	INCOME		1	1099-DIV
3	DOVER CORP DELAWARE	31.03	INCOME		1	1099-DIV
2	FREDDIE MAC VOTING COM STOCK	35.00	INCOME		1	1099-DIV
3	GOLDEN WEST FINL CORP DELAWARE	19.24	INCOME		1	1099-DIV
2	HEWLETT PACKARD CO	37.20	INCOME		1	1099-DIV
2	HOUSEHOLD INTERNATIONAL INC	99.00	INCOME		1	1099-DIV
3	LILLY ELI & CO	70.00	INCOME		1	1099-DIV
2	LOEWS CORP	13.20	INCOME		1	1099-DIV
2	MARRIOTT INTERNATIONAL INC NEW CLASS A	6.83	INCOME		1	1099-DIV
2	MASCO CORP DELAWARE	80.28	INCOME		1	1099-DIV
1	MCDONALDS CORP	42.75	INCOME		1	1099-DIV
2	MERCK & CO	84.60	INCOME		1	1099-DIV
3	MINNESOTA MINING MANUFACTURING CO	69.00	INCOME		1	1099-DIV
3	MOODYS CORP	9.24	INCOME		1	1099-DIV
2	MORGAN STANLEY DEAN WITTER & CO	35.65	INCOME		1	1099-DIV
2	PHILIP MORRIS COS INC	278.75	INCOME		1	1099-DIV
2	PHILLIPS PETROLEUM CO	61.20	INCOME		1	1099-DIV
3	PROGRESSIVE CORP OHIO	5.60	INCOME		1	1099-DIV
2	PROVIDIAN FINANCIAL CORP	4.50	INCOME		1	1099-DIV
1	PRUDENTIAL MONEYMART ASSETS FUND	18.63	INCOME		1	1099-DIV
1	STILWELL FINANCIAL SERVICES INC	.65	INCOME		1	1099-DIV
3	TRANSATLANTIC HOLDINGS INC	18.55	INCOME		1	1099-DIV
2	TYCO INTERNATIONAL LTD NEW	8.87	INCOME		1	1099-DIV
2	UNITED PARCEL SERVICE CLASS B	49.40	INCOME		1	1099-DIV
3	VULCAN MATERIALS CO	33.75	INCOME		1	1099-DIV
3	WELLS FARGO AND CO NEW	149.60	INCOME		1	1099-DIV

Total Dividends 2,097.15

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Realized Gain (Loss) Detail

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term						
AOL TIME WARNER INC	05-30-00	04-27-01	500	$24,760.00	$26,055.94	($1,295.94)
COMPUTER ASSOCIATES INTL INC	07-06-00	04-27-01	200	$7,230.00	$6,139.92	$1,090.08
MOTOROLA INC	04-27-01	05-03-01	180	$2,864.93	$2,739.60	$125.33

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
INTERNATIONAL BUSINESS MACHINES	04-27-01	05-07-01	15	$1,746.82	$1,740.00	$6.82
AMERICAN HOME PRODUCTS CORP	04-27-01	05-24-01	35	$2,114.27	$1,993.60	$120.67
AGILENT TECHNOLOGIES INC	04-27-01	06-15-01	50	$1,520.38	$1,990.50	($470.12)
AT&T CORP	04-27-01	06-19-01	85	$1,741.28	$1,897.20	($155.92)
TEXAS INSTRUMENTS INC	04-27-01	06-21-01	100	$2,953.75	$3,616.00	($662.25)
TRANSATLANTIC HOLDINGS INC	04-27-01	07-26-01	0.500	$38.51	$35.58	$2.93
ZIMMER HLDGS INC	04-27-01	08-10-01	0.500	$14.21	$14.30	($0.09)
FREDDIE MAC VOTING COM STOCK	04-27-01	09-19-01	75	$4,814.10	$4,807.50	$6.60
FREDDIE MAC VOTING COM STOCK	09-04-01	09-19-01	25	$1,604.70	$1,562.25	$42.45
STILWELL FINANCIAL SERVICES INC	04-27-01	09-28-01	65	$1,276.71	$1,915.55	($638.84)
STILWELL FINANCIAL SERVICES INC	09-04-01	09-28-01	15	$294.63	$434.40	($139.77)
PROVIDIAN FINANCIAL CORP	04-27-01	10-25-01	75	$284.32	$4,007.25	($3,722.93)
PROVIDIAN FINANCIAL CORP	09-04-01	10-25-01	35	$132.68	$1,123.50	($990.82)
ZIMMER HLDGS INC	04-27-01	10-30-01	14	$412.76	$400.43	$12.33
TYCO INTERNATIONAL LTD NEW	04-27-01	11-20-01	110	$6,325.03	$5,878.40	$446.63
AMERICAN HOME PRODUCTS CORP	04-27-01	12-18-01	120	$6,941.27	$6,835.20	$106.07
AMERICAN HOME PRODUCTS CORP	09-04-01	12-18-01	20	$1,156.88	$1,144.20	$12.68
BRISTOL MYERS SQUIBB CO	04-27-01	12-18-01	145	$7,368.64	$7,814.02	($445.38)
BRISTOL MYERS SQUIBB CO	09-04-01	12-18-01	10	$508.18	$572.00	($63.82)
Total Short Term Realized Gains (Losses)				$76,104.05	$82,717.34	($6,613.29)

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Realized Gain (Loss) Detail
(CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term						
CENDANT CP	11-20-98	04-27-01	400	$7,088.00	$6,186.96	$901.04
COMPUTER ASSOCIATES INTL INC	10-28-96	04-27-01	75	$2,711.25	$2,953.25	($242.00)
COMPUTER ASSOCIATES INTL INC	02-25-97	04-27-01	75	$2,711.25	$2,347.00	$364.25
COMPUTER ASSOCIATES INTL INC	03-06-97	04-27-01	150	$5,422.50	$4,084.50	$1,338.00
COMPUTER ASSOCIATES INTL INC	12-10-97	04-27-01	100	$3,615.00	$5,285.25	($1,670.25)
COMPUTER ASSOCIATES INTL INC	08-12-98	04-27-01	100	$3,615.00	$3,941.50	($326.50)
NASDAQ 100 TRUST SERIES 1 BOOK ENTRY ONLY	03-10-99	04-27-01	100	$4,508.00	$5,215.25	($707.25)
VIACOM INC CLASS B	02-25-97	04-27-01	217	$11,242.77	$3,624.57	$7,618.20
VIACOM INC CLASS B	09-24-98	04-27-01	217	$11,242.77	$5,441.42	$5,801.35
Total Long Term Realized Gains (Losses)				$52,156.54	$39,079.70	$13,076.84

2001 Consolidated Statement

COMMAND Account

IMPORTANT TAX INFORMATION: Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company

HON CAROLYN MCCARTHY Jan 1 - Dec 31, 2001 Account Number: DAA-869064-B5 Page 3 of 23

Dividends Received on Securities

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS	LINE(S)	REPORTED ON
3	AFD EXCHANGE RESERVES INC CLASS A	67.36	INCOME		1	1099-DIV
1	ALLIANCE TECHNOLOGY FUND INC CLASS A	17.66	CAP GAINS		2a	1099-DIV
11	COMMAND MONEY FUND	4,564.59	INCOME		1	1099-DIV
3	MONTG SHT GOVT BD	170.11	INCOME		1	1099-DIV

Total Income - Dividends $4,819.72

The line numbers referenced for individual items above comprise the totals which appear on the actual Form 1099-DIV, reflected on the first page of this statement.

Municipal Interest

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS
2	JAMESTOWN N Y GO RO MN 4.90 11/15/2005	1,225.00	MUNICIPAL	
1	NASSAU CO NY GO P RO MS 5.10 03/01/2001	637.50	MUNICIPAL	
1	NYC GO SERIES G RO FA3 7/8 08/01/2006	427.66	MUNICIPAL	
	NYC GO SERIES G RO FA3 7/8 08/01/2006	191.06	ACCRUED INT	
2	NY ST DORM AU RV RO FA 5.25 08/15/2013	787.50	MUNICIPAL	
2	N Y ST URBN DEV RO AO 5.70 04/01/2014	1,140.00	MUNICIPAL	
11	NUV NY PP M/A/R PRM	162.19	MUNICIPAL	
11	NUV NY PERF/P MF PRT	152.67	MUNICIPAL	
11	NUV N Y INV QU/MFPRM	160.08	MUNICIPAL	
1	SUFFOLK CO NY IDA RO FA 4.50 02/01/2002	1,237.50	MUNICIPAL	
2	WARWICK CSD NY A RO JD 5.10 06/15/2004	2,550.00	MUNICIPAL	
2	WARWICK CSD NY B RO JD 5.30 06/15/2003	2,650.00	MUNICIPAL	

Total Income - Municipal $11,321.36

Prudential Securities is required to report this municipal income to the state of New York.

Reinvestment Activity

DESCRIPTION	SHARES PURCHASED	AVG. PRICE PER SHARE	REINVEST AMOUNT
ALLIANCE TECHNOLOGY FUND INC CLASS A	241	73.28	17.66
MONTG SHT GOVT BD	12.939	10.21	132.05

Total Reinvested $149.71

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Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
SOLECTRON CORP DELAWARE	55	07/13/2001	07/18/2001		867.67	SOLD	
SPRINT CORP PCS GROUP INC	130	08/14/2001	08/17/2001	3,229.71		BOUGHT	
SPRINT CORP PCS GROUP INC	130	08/29/2001	09/04/2001		3,250.00	SOLD	
STAPLES INC RETAIL & DELIVERY	50	04/25/2001	04/30/2001	794.00		BOUGHT	
STAPLES INC RETAIL & DELIVERY	105	08/27/2001	08/30/2001		1,605.93	SOLD	
SUN MICROSYSTEMS INC	65	03/30/2001	04/04/2001	962.38		BOUGHT	
SUN MICROSYSTEMS INC	35	04/25/2001	04/30/2001	565.04		BOUGHT	
SUN MICROSYSTEMS INC	120	06/06/2001	06/11/2001		2,162.58	SOLD	
TXU CORP	10	01/23/2001	01/26/2001	379.64		BOUGHT	
TXU CORP	35	04/25/2001	04/30/2001	1,506.75		BOUGHT	
TXU CORP	5	05/15/2001	05/18/2001	225.29		BOUGHT	
TXU CORP	85	08/29/2001	09/04/2001		4,102.95	SOLD	
TARGET CORP	30	04/19/2001	04/24/2001		1,130.52	SOLD	
TARGET CORP	35	04/25/2001	04/30/2001	1,277.50		BOUGHT	
TARGET CORP	35	06/11/2001	06/14/2001		1,284.50	SOLD	
TARGET CORP	45	07/23/2001	07/26/2001	1,667.21		BOUGHT	
TARGET CORP	55	08/07/2001	08/10/2001	2,124.60		BOUGHT	
TARGET CORP	135	08/29/2001	09/04/2001		4,753.35	SOLD	
TENET HEALTHCARE CORP	50	04/25/2001	04/30/2001	2,207.50		BOUGHT	
TENET HEALTHCARE CORP	95	08/29/2001	09/04/2001		5,322.85	SOLD	
TEXACO INC	25	04/25/2001	04/30/2001	1,796.25		BOUGHT	
TEXACO INC	60	08/29/2001	09/04/2001		4,221.00	SOLD	
TEXAS INSTRUMENTS INC	15	04/25/2001	04/30/2001	534.30		BOUGHT	
TEXAS INSTRUMENTS INC	35	08/29/2001	09/04/2001		1,185.80	SOLD	
TYCO INTERNATIONAL LTD NEW	10	02/26/2001	03/01/2001	553.76		BOUGHT	
TYCO INTERNATIONAL LTD NEW	65	04/25/2001	04/30/2001	3,398.85		BOUGHT	
TYCO INTERNATIONAL LTD NEW	135	08/29/2001	09/04/2001		7,106.40	SOLD	
US BANCORP DELAWARE NEW	85	04/25/2001	04/30/2001	1,803.70		BOUGHT	

Realized Gain (Loss) Detail

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term						
AFD EXCHANGE RESERVES INC CLASS A	12-29-00	04-16-01	6.090	$6,090.00	$6,090.00	$0.00
AFD EXCHANGE RESERVES INC CLASS A	01-23-01	04-16-01	17.500	$17.50	$17.50	$0.00
AFD EXCHANGE RESERVES INC CLASS A	02-22-01	04-16-01	24.720	$24.72	$24.72	$0.00
AFD EXCHANGE RESERVES INC CLASS A	03-22-01	04-16-01	22.220	$22.22	$22.22	$0.00
ALLIANCE TECHNOLOGY FUND INC CLASS A	12-19-00	04-17-01	10.973	$799.49	$1,023.32	($223.83)
ALLIANCE TECHNOLOGY FUND INC CLASS A	03-19-01	04-17-01	0.241	$17.56	$17.66	($0.10)
DREYFUS GROWTH & VALUE FUNDS INC TECHNOLOGY GROWTH FUND	12-28-00	04-17-01	317.361	$8,717.91	$12,738.88	($4,020.97)
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	12-11-00	04-17-01	14.972	$723.75	$836.06	($112.31)
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	12-11-00	04-17-01	16.953	$819.51	$946.65	($127.14)
JANUS INVESTMENT FUND WORLDWIDE FUND	12-19-00	04-17-01	7.100	$343.78	$418.47	($74.69)
JANUS INVESTMENT FUND WORLDWIDE FUND	12-19-00	04-17-01	58.046	$2,810.59	$3,421.24	($610.65)
MONTGOMERY FUNDS SHORT DURATION GOVERNMENT FUND	12-29-00	04-17-01	1,425.152	$14,522.29	$14,379.78	$142.51
MONTGOMERY FUNDS SHORT DURATION GOVERNMENT FUND	02-01-01	04-17-01	6.355	$64.76	$64.63	$0.13
MONTGOMERY FUNDS SHORT DURATION GOVERNMENT FUND	03-01-01	04-17-01	6.358	$64.79	$64.79	$0.00
MONTGOMERY FUNDS SHORT DURATION GOVERNMENT FUND	04-02-01	04-17-01	6.581	$67.06	$67.26	($0.20)
PRUDENTIAL 20/20 FUND CLASS Z	05-25-00	04-17-01	67.053	$747.64	$787.87	($40.23)
PRUDENTIAL 20/20 FUND CLASS Z	05-25-00	04-17-01	204.289	$2,277.82	$2,400.39	($122.57)
PRUDENTIAL 20/20 FUND CLASS Z	11-28-00	04-17-01	371.786	$4,145.42	$4,071.06	$74.36

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Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
RS EMERGING GROWTH FUND	12-21-00	04-17-01	1.215	$39.67	$52.77	($13.10)
RS EMERGING GROWTH FUND	12-21-00	04-17-01	11.024	$359.93	$478.77	($118.84)
NEW YORK CITY GO SERIES G 2001 - TAX EXEMPT RD FA 3 7/8 08/01/2006 DTD 02/22/01 1ST CPN 08/01/01 BOOK ENTRY ONLY	02-21-01	10-09-01	25,000	$25,245.75	$25,004.30	$241.45
Total Short Term Realized Gains (Losses)				$67,922.16	$72,928.34	($5,006.18)
Long Term						
NASSAU CO NY GENERAL OBLIGATION COMBINED SEWER DIST SERIES P RD MS 5.100 03/01/2001 DTD 11/01/93 BOOK ENTRY ONLY	04-29-99	03-01-01	25,000	$25,000.00	$25,000.00	$0.00
NUVEEN NEW YORK PERFORMANCE PLUS MUN FD INC MUN AUCTION RATE PREFERRED SER M	03-06-00	04-16-01	1	$25,000.00	$25,000.00	$0.00
NUVEEN NEW YORK INVESTMENT QUALITY MUN AUCTION RATE PFD SERIES M BOOK ENTRY ONLY	02-28-00	04-16-01	1	$25,000.00	$25,000.00	$0.00
ALLIANCE TECHNOLOGY FUND INC CLASS A	09-29-99	04-17-01	134	$9,763.24	$12,464.68	($2,701.44)
ALLIANCE TECHNOLOGY FUND INC CLASS A	09-30-99	04-17-01	26	$1,894.36	$2,391.48	($497.12)
ALLIANCE TECHNOLOGY FUND INC CLASS A	12-20-99	04-17-01	1.512	$110.16	$174.08	($63.92)
ALLIANCE TECHNOLOGY FUND INC CLASS A	12-20-99	04-17-01	4.100	$298.73	$472.00	($173.27)
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	09-30-99	04-17-01	175	$8,459.50	$9,635.50	($1,176.00)

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	11-03-99	04-17-01	0.111	$5.37	$6.48	($1.11)
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	12-03-99	04-17-01	3.709	$179.29	$200.22	($20.93)
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	12-03-99	04-17-01	16.046	$775.66	$866.15	($90.49)
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	12-31-99	04-17-01	0.897	$43.36	$49.01	($5.65)
JANUS INVESTMENT FUND WORLDWIDE FUND	10-30-97	04-17-01	505.051	$24,454.57	$20,000.00	$4,454.57
JANUS INVESTMENT FUND WORLDWIDE FUND	12-31-97	04-17-01	9.251	$447.93	$347.27	$100.66
JANUS INVESTMENT FUND WORLDWIDE FUND	12-31-97	04-17-01	10.184	$493.11	$382.32	$110.79
JANUS INVESTMENT FUND WORLDWIDE FUND	12-31-97	04-17-01	18.115	$877.13	$680.05	$197.08
JANUS INVESTMENT FUND WORLDWIDE FUND	07-02-98	04-17-01	0.120	$5.81	$5.59	$0.22
JANUS INVESTMENT FUND WORLDWIDE FUND	12-31-98	04-17-01	2.084	$100.91	$98.07	$2.84
JANUS INVESTMENT FUND WORLDWIDE FUND	12-15-99	04-17-01	0.204	$9.88	$14.42	($4.54)
JANUS INVESTMENT FUND WORLDWIDE FUND	12-15-99	04-17-01	9.884	$478.58	$699.06	($220.48)
NUVEEN NEW YORK PERFORMANCE PLUS MUN FUND AUC RATE CUM PFD 800 SHS SER T BOOK ENTRY ONLY	02-22-00	04-17-01	1	$25,000.00	$25,000.00	$0.00
PRUDENTIAL 20/20 FUND CLASS Z	07-01-98	04-17-01	5,000	$55,750.00	$50,000.00	$5,750.00
PRUDENTIAL 20/20 FUND CLASS Z	11-23-98	04-17-01	18.173	$202.63	$185.00	$17.63
PRUDENTIAL 20/20 FUND CLASS Z	11-24-99	04-17-01	93.334	$1,040.67	$1,199.34	($158.67)
PRUDENTIAL 20/20 FUND CLASS Z	11-24-99	04-17-01	140.977	$1,571.89	$1,811.56	($239.67)
PRUDENTIAL TAX MANAGED EQUITY FUND C1Z	02-26-99	04-17-01	1,950	$20,221.50	$19,500.00	$721.50
RS EMERGING GROWTH FUND	09-30-99	04-17-01	140	$4,571.00	$5,182.80	($611.80)

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
RS EMERGING GROWTH FUND	12-13-99	04-17-01	219.126	$7,154.46	$12,253.52	($5,099.06)
RS EMERGING GROWTH FUND	12-29-99	04-17-01	0.285	$9.31	$17.07	($7.76)
RS EMERGING GROWTH FUND	12-03-99	04-17-01	1.587	$51.82	$76.38	($24.56)
RS EMERGING GROWTH FUND	12-03-99	04-17-01	8.052	$262.90	$387.46	($124.56)
CALLED VAN KAMPEN AGGRESSIVE GRWTH INTER (SUBJ TO DEFERRED SALES CHARGE) FULLY CALLED 05/18/2001 AT 2.81	02-15-00	04-17-01	500	$1,255.60	$5,000.00	($3,744.40)
CALLED VAN KAMPEN TELECOMUNICATIONS TR S (SUBJ TO DEFERRED SALES CHARGE) FULLY CALLED 05/18/2001 AT 3.26	02-15-00	04-17-01	500	$1,481.70	$5,000.00	($3,518.30)
CALLED VAN KAMPEN TELECOMUNICATIONS TR S (SUBJ TO DEFERRED SALES CHARGE) FULLY CALLED 05/18/2001 AT 3.26	02-15-00	04-17-01	500	$1,481.70	$5,000.00	($3,518.30)
Total Long Term Realized Gains (Losses)				$243,452.77	$254,099.51	($10,646.74)

Dividends Received on Securities

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS		LINE(S)	REPORTED ON
3	ALCOA INC	31.50	INCOME			1	1099-DIV
3	AMERICAN INTERNATIONAL GROUP INC	8.15	INCOME			1	1099-DIV
3	AVON PRODUCTS INC	23.75	INCOME			1	1099-DIV
1	BP PLC SADR	20.19	INCOME	INCLUDES FOREIGN TAX OF	$2.02	1,6	1099-DIV
3	BANK ONE CORP	35.70	INCOME			1	1099-DIV
9	CAT NTL MONEY FD	301.78	INCOME			1	1099-DIV
3	CITIGROUP INC	64.12	INCOME			1	1099-DIV
3	COLGATE PALMOLIVE CO	13.50	INCOME			1	1099-DIV
E	COMMAND MONEY FUND	.73	INCOME			1	1099-DIV
E	DELTA AIR LINES INC	1.01	INCOME			1	1099-DIV
E	DOW CHEMICAL CO	16.75	INCOME			1	1099-DIV
2	DYNEGY INC CLASS A	6.76	INCOME			1	1099-DIV
2	ELECTRONIC DATA SYSTEMS CORP	9.00	INCOME			1	1099-DIV
E	ENRON CORP OREGON	4.38	INCOME			1	1099-DIV
4	EXXON MOBIL CORP	89.95	INCOME			1	1099-DIV
2	FREDDIE MAC VOTING COM STOCK	25.00	INCOME			1	1099-DIV
1	FIRSTAR CORP MERGER	19.50	INCOME			1	1099-DIV
2	FORD MOTOR CO NEW	46.20	INCOME			1	1099-DIV
2	GAP INC	1.78	INCOME			1	1099-DIV
3	GENERAL ELECTRIC CO	69.60	INCOME			1	1099-DIV
3	HOME DEPOT INC	10.40	INCOME			1	1099-DIV
2	HONEYWELL INTERNATIONAL INC	25.50	INCOME			1	1099-DIV
3	INTEL CORP	7.80	INCOME			1	1099-DIV
2	INTERNATIONAL BUSINESS MACHINES	9.80	INCOME			1	1099-DIV
3	J P MORGAN CHASE & CO COMMON NEW	55.10	INCOME			1	1099-DIV
1	JOHNSON & JOHNSON	11.70	INCOME			1	1099-DIV
3	JOHNSON CONTROLS INC	54.25	INCOME			1	1099-DIV
1	KEYCORP NEW	30.98	INCOME			1	1099-DIV
3	MC GRAW HILL COMPANIES INC	23.29	INCOME			1	1099-DIV
3	MERCK & CO	27.20	INCOME			1	1099-DIV
3	MORGAN STANLEY DEAN WITTER & CO	16.10	INCOME			1	1099-DIV
1	NORTEL NETWORKS CORP HOLDINGS CO	1.50	INCOME	INCLUDES FOREIGN TAX OF	$.23	1,6	1099-DIV
2	PEPSICO INC	25.08	INCOME			1	1099-DIV
3	PFIZER INC	61.60	INCOME			1	1099-DIV

Dividends Received on Securities
CONTINUED

PAYMENTS	PAYOR	DOLLAR AMOUNT	TAX CLASS	COMMENTS	LINE(S)	REPORTED ON
3	PHARMACIA CORP	33.90	INCOME		1	1099-DIV
1	PHELPS DODGE CORP	7.50	INCOME		1	1099-DIV
3	PHILIP MORRIS COS INC	129.85	INCOME		1	1099-DIV
2	PROVIDIAN FINANCIAL CORP	6.60	INCOME		1	1099-DIV
1	PRUDENTIAL MONEYMART ASSETS FUND	.01	INCOME		1	1099-DIV
3	SBC COMMUNICATIONS INC	65.12	INCOME		1	1099-DIV
2	SCHERING PLOUGH CORP	17.40	INCOME		1	1099-DIV
3	SCHLUMBERGER LIMITED	4.69	INCOME		1	1099-DIV
3	TXU CORP	99.00	INCOME		1	1099-DIV
3	TARGET CORP	14.86	INCOME		1	1099-DIV
3	TEXACO INC MERGER	69.75	INCOME		1	1099-DIV
3	TEXAS INSTRUMENTS INC	1.91	INCOME		1	1099-DIV
3	TYCO INTERNATIONAL LTD NEW	3.32	INCOME		1	1099-DIV
2	US BANCORP DELAWARE NEW	57.19	INCOME		1	1099-DIV
3	UNITED TECHNOLOGIES CORP	38.25	INCOME		1	1099-DIV
1	UNITEDHEALTH GROUP INC	.90	INCOME		1	1099-DIV
3	WELLS FARGO AND CO NEW	64.40	INCOME		1	1099-DIV
	Total Income - Dividends	$1,784.30				

The line numbers referenced for individual items above comprise the totals which appear on the actual Form 1099-DIV, reflected on the first page of this statement.

Realized Gain (Loss) Summary

Estimated realized gain(loss) figures are displayed for your information. These sections reflect gains(losses) starting from when they were first included on your 2001 statement and therefore may not include all transactions reported on 1099-B. In instances where a gain(loss) has not been calculated, section and summary totals may not reflect a comprehensive view of your complete portfolio. Realized gains(losses) displayed here may not correspond to those previously displayed on your monthly statements due to subsequent adjustments to cost bases. For more information on how estimated realized gains or losses are calculated, please consult the enclosed brochure. Since Prudential Securities is not a tax advisor, you should consult your personal tax advisor to determine how this information may apply to your situation.

Short Term			Long Term		
Gain	(Loss)	Net	Gain	(Loss)	Net
$5,058.39	($29,070.75)	($24,012.36)	$15,436.11	($7,519.61)	$7,916.50

Please note that the display of realized gain(loss) information summarizes only those gains and losses that were reported on your prior statements. Please refer to the "TRADING ACTIVITY" section of this document for a complete summary of 2001 purchases and sales.

Realized Gain (Loss) Detail

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term						
ORACLE CORP	05-04-00	01-12-01	30	$1,008.75	$1,121.19	($112.44)
FIRSTAR CORP MERGER	02-07-00	01-23-01	10	$224.72	$226.60	($1.88)
AES CORP	02-07-00	01-29-01	5	$295.81	$198.86	$96.95
MC GRAW HILL COMPANIES INC	04-19-00	02-09-01	5	$305.51	$245.65	$59.86
WELLS FARGO AND CO NEW	12-01-00	02-26-01	5	$241.84	$240.76	$1.08
SCHERING PLOUGH CORP	03-13-00	02-28-01	15	$618.47	$553.94	$64.53
BROADCOM CORP CLASS A	11-13-00	03-22-01	5	$165.31	$827.93	($662.62)
PMC SIERRA INC	10-25-00	03-26-01	10	$314.30	$1,654.13	($1,340.83)
VITESSE SEMICONDUCTOR CORP	06-13-00	03-26-01	25	$857.48	$1,777.87	($920.39)
NORTEL NETWORKS CORP HOLDINGS CO	05-11-00	03-29-01	15	$202.01	$770.88	($568.87)
NORTEL NETWORKS CORP HOLDINGS CO	09-29-00	03-29-01	5	$67.34	$310.00	($242.66)
MC GRAW HILL COMPANIES INC	04-19-00	04-19-01	5	$317.29	$245.65	$71.64
TARGET CORP	05-30-00	04-19-01	10	$376.84	$314.68	$62.16

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
E M C CORP MASS	08-04-00	05-15-01	5	$198.00	$427.50	($229.50)
E M C CORP MASS	03-30-01	05-15-01	5	$198.00	$145.20	$52.80
SCHERING PLOUGH CORP	12-22-00	05-15-01	15	$557.25	$859.83	($302.58)
NORTEL NETWORKS CORP HOLDINGS CO	09-29-00	05-17-01	5	$69.80	$310.00	($240.20)
NORTEL NETWORKS CORP HOLDINGS CO	10-31-00	05-17-01	35	$488.60	$1,462.76	($974.16)
NORTEL NETWORKS CORP HOLDINGS CO	04-25-01	05-17-01	30	$418.80	$465.60	($46.80)
SUN MICROSYSTEMS INC	08-14-00	06-06-01	20	$360.43	$1,114.13	($753.70)
SUN MICROSYSTEMS INC	03-30-01	06-06-01	65	$1,171.40	$962.38	$209.02
SUN MICROSYSTEMS INC	04-25-01	06-06-01	35	$630.75	$565.04	$65.71
DELTA AIR LINES INC	04-25-01	06-11-01	10	$437.75	$430.70	$7.05
TARGET CORP	09-01-00	06-11-01	35	$1,284.50	$848.69	$435.81
BANK ONE CORP	04-25-01	06-25-01	35	$1,244.94	$1,326.85	($81.91)
SCHERING PLOUGH CORP	04-25-01	07-05-01	30	$1,087.94	$1,107.90	($19.96)
SCHLUMBERGER LIMITED	04-25-01	07-09-01	10	$517.00	$629.70	($112.70)
BANK ONE CORP	05-15-01	07-10-01	30	$1,027.05	$1,124.97	($97.92)
FORD MOTOR CO NEW	04-25-01	07-10-01	50	$1,238.42	$1,435.00	($196.58)
BEA SYSTEMS INC	06-07-01	07-13-01	35	$889.78	$1,419.83	($530.05)
NETWORK APPLIANCE INC	04-25-01	07-13-01	15	$171.00	$317.25	($146.25)
SOLECTRON CORP DELAWARE	11-20-00	07-13-01	20	$315.52	$688.09	($372.57)
SOLECTRON CORP DELAWARE	04-25-01	07-13-01	20	$315.51	$496.00	($180.49)
VERITAS SOFTWARE CORP	07-18-00	07-13-01	15	$791.24	$1,979.00	($1,187.76)
VERITAS SOFTWARE CORP	07-31-00	07-13-01	5	$263.75	$484.11	($220.36)
JUNIPER NETWORKS INC	03-22-01	07-16-01	10	$268.11	$532.01	($263.90)

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
JUNIPER NETWORKS INC	04-09-01	07-16-01	10	$268.11	$342.30	($74.19)
JUNIPER NETWORKS INC	04-25-01	07-16-01	15	$402.17	$886.50	($484.33)
E M C CORP MASS	03-30-01	07-23-01	20	$363.87	$580.82	($216.95)
E M C CORP MASS	04-25-01	07-23-01	25	$454.84	$958.50	($503.66)
GAP INC	04-25-01	07-23-01	20	$592.10	$507.60	$84.50
MERCK & CO	12-22-00	07-23-01	20	$1,318.19	$1,839.72	($521.53)
MERCK & CO	04-25-01	07-23-01	20	$1,318.19	$1,492.80	($174.61)
PHARMACIA CORP	09-29-00	07-23-01	10	$433.22	$608.13	($174.91)
PHARMACIA CORP	02-06-01	07-23-01	10	$433.22	$592.15	($158.93)
PHARMACIA CORP	02-26-01	07-23-01	15	$649.83	$737.93	($88.10)
PHARMACIA CORP	04-25-01	07-23-01	65	$2,815.95	$3,194.10	($378.15)
AMDOCS LTD ORDINARY	06-04 01	07-26-01	20	$880.80	$1,300.00	($419.20)
COLGATE PALMOLIVE CO	12-22-00	08-06-01	10	$528.53	$602.95	($74.42)
COLGATE PALMOLIVE CO	04-25-01	08-06-01	20	$1,057.07	$1,069.40	($12.33)
EXXON MOBIL CORP	10-17-00	08-06-01	60	$2,464.62	$2,684.56	($219.94)
EXXON MOBIL CORP	10-25-00	08-06-01	10	$410.77	$439.08	($28.31)
EXXON MOBIL CORP	12-01-00	08-06 01	5	$205.38	$222.60	($17.22)
HONEYWELL INTERNATIONAL INC	04-25-01	08-09-01	45	$1,618.36	$2,155.50	($537.14)

Realized Gain (Loss) Detail (CONTINUED)

Short Term (continued)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
AMDOCS LTD ORDINARY	06-04-01	08-13-01	25	$1,062.66	$1,625.00	($562.34)
VERITAS SOFTWARE CORP	11-20-00	08-13-01	5	$191.67	$560.23	($368.56)
VERITAS SOFTWARE CORP	12-19-00	08-13-01	10	$383.35	$955.16	($571.81)
VERITAS SOFTWARE CORP	04-09-01	08-13-01	5	$191.68	$227.92	($36.24)
VERITAS SOFTWARE CORP	04-25-01	08-13-01	35	$1,341.72	$2,079.32	($737.60)
ENRON CORP OREGON	03-15-01	08-17-01	10	$365.04	$645.47	($280.43)
ENRON CORP OREGON	04-25-01	08-17-01	15	$547.55	$939.15	($391.60)
PROVIDIAN FINANCIAL CORP	09-15-00	08-17-01	10	$453.83	$593.57	($139.74)
PROVIDIAN FINANCIAL CORP	04-25-01	08-17-01	10	$453.82	$501.40	($47.58)
PROVIDIAN FINANCIAL CORP	04-25-01	08-27-01	55	$2,274.25	$2,757.70	($483.45)
SBC COMMUNICATIONS INC	04-25-01	08-27-01	24	$1,012.97	$983.28	$29.69
STAPLES INC RETAIL & DELIVERY	09-01-00	08-27-01	35	$535.31	$555.33	($20.02)
STAPLES INC RETAIL & DELIVERY	04-25-01	08-27-01	50	$764.73	$794.00	($29.27)
AES CORP	12-12-00	08-29-01	5	$178.95	$250.00	($71.05)
AES CORP	04-25-01	08-29-01	50	$1,789.50	$2,408.00	($618.50)
AOL TIME WARNER INC	03-08-01	08-29-01	40	$1,540.00	$1,856.39	($316.39)
AOL TIME WARNER INC	03-26-01	08-29-01	10	$385.00	$413.00	($28.00)
AOL TIME WARNER INC	04-19-01	08-29-01	10	$385.00	$490.80	($105.80)
AOL TIME WARNER INC	04-25-01	08-29-01	80	$3,080.00	$3,815.23	($735.23)
AOL TIME WARNER INC	05-03-01	08-29-01	5	$192.50	$253.56	($61.06)
AOL TIME WARNER INC	06-11-01	08-29-01	40	$1,540.00	$2,067.22	($527.22)

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
ALCOA INC	04-25-01	08-29-01	35	$1,330.00	$1,416.80	($86.80)
AMERICAN INTERNATIONAL GROUP INC	01-23-01	08-29-01	10	$781.50	$843.04	($61.54)
AMERICAN INTERNATIONAL GROUP INC	04-03-01	08-29-01	5	$390.75	$408.65	($17.90)
AMERICAN INTERNATIONAL GROUP INC	04-25-01	08-29-01	35	$2,735.25	$2,749.60	($14.35)
AVON PRODUCTS INC	02-28-01	08-29-01	10	$463.00	$429.42	$33.58
AVON PRODUCTS INC	04-25-01	08-29-01	30	$1,389.00	$1,127.40	$261.60
BP PLC SPONSORED AMERN DEP RECEIPT ONE ADR REP 6 ORD SHS	06-25-01	08-29-01	35	$1,799.00	$1,861.89	($62.89)
BP PLC SPONSORED AMERN DEP RECEIPT ONE ADR REP 6 ORD SHS	07-09-01	08-29-01	20	$1,028.00	$970.00	$58.00
CARDINAL HEALTH INC	07-23-01	08-29-01	45	$3,278.25	$3,224.01	$54.24
CENDANT CP	08-07-01	08-29-01	115	$2,244.80	$2,277.68	($32.88)
CENDANT CP	08-17-01	08-29-01	45	$878.40	$901.94	($23.54)
CISCO SYSTEMS INC	11-20-00	08-29-01	5	$85.15	$258.75	($173.60)
CISCO SYSTEMS INC	03-22-01	08-29-01	25	$425.75	$471.90	($46.15)
CISCO SYSTEMS INC	04-25-01	08-29-01	80	$1,362.40	$1,280.00	$82.40
CITIGROUP INC	04-04-01	08-29-01	15	$696.00	$631.50	$64.50
CITIGROUP INC	04-25-01	08-29-01	70	$3,248.00	$3,452.40	($204.40)
COX COMMUNICATIONS INC NEW CLASS A	04-25-01	08-29-01	45	$1,806.75	$2,001.60	($194.85)
DANAHER CORP	08-09-01	08-29-01	50	$2,861.00	$2,856.96	$4.04
DOW CHEMICAL CO	03-30-01	08-29-01	20	$705.00	$630.24	$74.76
DOW CHEMICAL CO	04-19-01	08-29-01	10	$352.50	$354.20	($1.70)
DOW CHEMICAL CO	04-25-01	08-29-01	20	$705.00	$663.60	$41.40
DOW CHEMICAL CO	07-09-01	08-29-01	45	$1,586.25	$1,552.33	$33.92
DYNEGY INC CLASS A	04-25-01	08-29-01	45	$1,986.75	$2,546.55	($559.80)
ELECTRONIC DATA SYSTEMS CORP	03-15-01	08-29-01	15	$913.50	$871.39	$42.11

3078

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
ELECTRONIC DATA SYSTEMS CORP	04-25-01	08-29-01	15	$913.50	$962.25	($48.75)
EXXON MOBIL CORP	12-01-00	08-29-01	15	$607.05	$667.78	($60.73)
EXXON MOBIL CORP	02-28-01	08-29-01	10	$404.70	$409.37	($4.67)
EXXON MOBIL CORP	04-25-01	08-29-01	90	$3,642.30	$4,041.45	($399.15)
FREDDIE MAC VOTING COM STOCK	01-12-01	08-29-01	25	$1,587.00	$1,577.25	$9.75
FREDDIE MAC VOTING COM STOCK	02-09-01	08-29-01	5	$317.40	$322.46	($5.06)
FREDDIE MAC VOTING COM STOCK	02-15-01	08-29-01	5	$317.40	$331.25	($13.85)
FREDDIE MAC VOTING COM STOCK	04-25-01	08-29-01	35	$2,221.80	$2,265.55	($43.75)
FREDDIE MAC VOTING COM STOCK	05-07-01	08-29-01	20	$1,269.60	$1,303.38	($33.78)
FEDERATED DEPARTMENT STORES INC DEL	04-25-01	08-29-01	40	$1,507.60	$1,678.80	($171.20)
GENERAL ELECTRIC CO	09-15-00	08-29-01	15	$612.00	$858.75	($246.75)
GENERAL ELECTRIC CO	02-09-01	08-29-01	10	$408.00	$464.50	($56.50)
GENERAL ELECTRIC CO	04-25-01	08-29-01	90	$3,672.00	$4,343.40	($671.40)
HOME DEPOT INC	04-25-01	08-29-01	45	$2,114.55	$2,070.90	$43.65
HOUSEHOLD INTERNATIONAL INC	08-17-01	08-29-01	30	$1,825.80	$1,999.50	($173.70)
INTEL CORP	11-07-00	08-29-01	20	$563.60	$917.12	($353.52)
INTEL CORP	04-25-01	08-29-01	75	$2,113.50	$2,194.50	($81.00)
INTERNATIONAL BUSINESS MACHINES	03-08-01	08-29-01	10	$1,044.10	$1,058.60	($14.50)
INTERNATIONAL BUSINESS MACHINES	04-09-01	08-29-01	5	$522.05	$484.76	$37.29
INTERNATIONAL BUSINESS MACHINES	04-25-01	08-29-01	20	$2,088.20	$2,272.45	($184.25)
J P MORGAN CHASE & CO COMMON NEW	09-19-00	08-29-01	15	$597.00	$705.61	($108.61)
J P MORGAN CHASE & CO COMMON NEW	04-25-01	08-29-01	35	$1,393.00	$1,643.95	($250.95)

3079

Realized Gain (Loss) Detail (CONTINUED)

Short Term (continued)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
JOHNSON & JOHNSON	05-18-01	08-29-01	10	$531.80	$503.45	$28.35
JOHNSON & JOHNSON	07-23-01	08-29-01	55	$2,924.90	$2,950.16	($25.26)
JOHNSON & JOHNSON	08-27-01	08-29-01	30	$1,595.40	$1,638.00	($42.60)
JOHNSON CONTROLS INC	09-29-00	08-29-01	10	$722.00	$525.79	$196.21
JOHNSON CONTROLS INC	04-25-01	08-29-01	35	$2,527.00	$2,561.65	($34.65)
KEYCORP NEW	06-25-01	08-29-01	65	$1,646.45	$1,627.20	$19.25
KEYCORP NEW	07-12-01	08-29-01	40	$1,013.20	$1,039.51	($26.31)
KOHLS CORP	03-26-01	08-29-01	10	$551.80	$604.28	($52.48)
KOHLS CORP	04-19-01	08-29-01	10	$551.80	$600.89	($49.09)
KOHLS CORP	04-25-01	08-29-01	20	$1,103.60	$1,171.40	($67.80)
KOHLS CORP	06-11-01	08-29-01	15	$827.70	$918.80	($91.10)
KROGER COMPANY	11-20-00	08-29-01	5	$131.65	$127.50	$4.15
KROGER COMPANY	04-25-01	08-29-01	100	$2,633.00	$2,235.00	$398.00
MASCO CORP DELAWARE	06-07-01	08-29-01	85	$2,165.80	$2,204.83	($39.03)
MASCO CORP DELAWARE	08-27-01	08-29-01	55	$1,401.40	$1,440.71	($39.31)
MC GRAW HILL COMPANIES INC	12-19-00	08-29-01	10	$602.50	$583.04	$19.46
MC GRAW HILL COMPANIES INC	04-25-01	08-29-01	15	$903.75	$984.90	($81.15)
MICROSOFT CORP WASHINGTON	10-17-00	08-29-01	10	$602.50	$518.11	$84.39
MICROSOFT CORP WASHINGTON	10-23-00	08-29-01	10	$602.50	$637.30	($34.80)
MICROSOFT CORP WASHINGTON	03-08-01	08-29-01	10	$602.50	$596.57	$5.93
MICROSOFT CORP WASHINGTON	03-22-01	08-29-01	15	$903.75	$762.64	$141.11
MICROSOFT CORP WASHINGTON	04-25-01	08-29-01	60	$3,615.00	$4,173.60	($558.60)
MORGAN STANLEY DEAN WITTER & CO	11-13-00	08-29-01	20	$1,077.40	$1,352.50	($275.10)
MORGAN STANLEY DEAN WITTER & CO	04-25-01	08-29-01	10	$538.70	$611.80	($73.10)
ORACLE CORP	09-19-00	08-29-01	20	$268.20	$790.00	($521.80)

3080

2001 Consolidated Statement

Securities Account

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential company

HON CAROLYN MC CARTHY Jan 1 - Dec 31, 2001 Account Number: MAC-209622-K1 Page 29 of 37

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
ORACLE CORP	04-25-01	08-29-01	75	$1,005.75	$1,308.00	($302.25)
PEOPLESOFT INC	07-16-01	08-29-01	50	$1,738.00	$2,063.90	($325.90)
PEOPLESOFT INC	08-13-01	08-29-01	25	$869.00	$951.98	($82.98)
PEPSICO INC	12-22-00	08-29-01	35	$1,632.75	$1,686.56	($53.81)
PEPSICO INC	01-29-01	08-29-01	25	$1,166.25	$1,099.24	$67.01
PEPSICO INC	04-25-01	08-29-01	55	$2,565.75	$2,427.15	$138.60
PFIZER INC	09-12-00	08-29-01	30	$1,188.00	$1,211.25	($23.25)
PFIZER INC	02-28-01	08-29-01	5	$198.00	$226.50	($28.50)
PFIZER INC	04-02-01	08-29-01	10	$396.00	$396.86	($0.86)
PFIZER INC	04-25-01	08-29-01	100	$3,960.00	$4,105.00	($145.00)
PHILIP MORRIS COS INC	09-12-00	08-29-01	15	$711.75	$445.35	$266.40
PHILIP MORRIS COS INC	04-25-01	08-29-01	45	$2,135.25	$2,274.30	($139.05)
SBC COMMUNICATIONS INC	04-25-01	08-29-01	51	$2,092.02	$2,089.47	$2.55
SPRINT CORP PCS GROUP INC	08-14-01	08-29-01	130	$3,250.00	$3,229.71	$20.29
TXU CORP	01-23-01	08-29-01	10	$482.70	$379.64	$103.06
TXU CORP	04-25-01	08-29-01	35	$1,689.45	$1,506.75	$182.70
TXU CORP	05-15-01	08-29-01	5	$241.35	$225.29	$16.06
TARGET CORP	04-25-01	08-29-01	35	$1,232.35	$1,277.50	($45.15)
TARGET CORP	07-23-01	08-29-01	45	$1,584.45	$1,667.21	($82.76)
TARGET CORP	08-07-01	08-29-01	55	$1,936.55	$2,124.60	($188.05)
TENET HEALTHCARE CORP	04-25-01	08-29-01	50	$2,801.50	$2,207.50	$594.00
TEXACO INC MERGER	04-25-01	08-29-01	25	$1,758.75	$1,796.25	($37.50)
TEXAS INSTRUMENTS INC	04-25-01	08-29-01	15	$508.20	$534.30	($26.10)

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Short Term (continued)						
TYCO INTERNATIONAL LTD NEW	02-26-01	08-29-01	10	$526.40	$553.76	($27.36)
TYCO INTERNATIONAL LTD NEW	04-25-01	08-29-01	65	$3,421.60	$3,398.85	$22.75
US BANCORP DELAWARE NEW	10-23-00	08-29-01	40	$964.80	$684.23	$280.57
US BANCORP DELAWARE NEW	04-25-01	08-29-01	85	$2,050.20	$1,803.70	$246.50
UNION PACIFIC CORP	06-11-01	08-29-01	25	$1,317.50	$1,399.95	($82.45)
UNION PACIFIC CORP	07-23-01	08-29-01	15	$790.50	$848.00	($57.50)
UNITED TECHNOLOGIES CORP	11-13-00	08-29-01	5	$344.80	$327.79	$17.01
UNITED TECHNOLOGIES CORP	04-25-01	08-29-01	30	$2,068.80	$2,283.60	($214.80)
UNITED TECHNOLOGIES CORP	07-18-01	08-29-01	45	$3,103.20	$3,386.15	($282.95)
UNITEDHEALTH GROUP INC	04-25-01	08-29-01	20	$1,386.20	$1,264.20	$122.00
WATSON PHARMACEUTIAL INC	07-23-01	08-29-01	26	$1,504.10	$1,599.96	($95.86)
WATSON PHARMACEUTIAL INC	07-24-01	08-29-01	19	$1,099.15	$1,155.16	($56.01)
WATSON PHARMACEUTIAL INC	08-27-01	08-29-01	5	$289.25	$293.42	($4.17)
WELLS FARGO AND CO NEW	12-01-00	08-29-01	20	$916.80	$963.02	($46.22)
WELLS FARGO AND CO NEW	12-27-00	08-29-01	10	$458.40	$548.31	($89.91)
WELLS FARGO AND CO NEW	01-30-01	08-29-01	25	$1,146.00	$1,271.92	($125.92)
WELLS FARGO AND CO NEW	04-25-01	08-29-01	45	$2,062.80	$2,131.65	($68.85)
Total Short Term Realized Gains (Losses)				$205,258.73	$229,271.09	($24,012.36)
Long Term						
JOHNSON CONTROLS INC	12-01-98	01-12-01	5	$291.96	$284.06	$7.90

3082

Realized Gain (Loss) Detail
(CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
GAP INC	02-25-99	01-23-01	7.500	$216.69	$304.42	($87.73)
GAP INC	05-03-99	01-23-01	15	$433.37	$697.08	($263.71)
GAP INC	05-25-99	01-23-01	2.500	$72.23	$102.92	($30.69)
FEDERATED DEPARTMENT STORES INC DEL	10-19-99	01-29-01	10	$424.55	$422.50	$2.05
J P MORGAN CHASE & CO COMMON NEW	09-13-99	01-29-01	5	$274.25	$259.79	$14.46
J P MORGAN CHASE & CO COMMON NEW	09-20-99	01-29-01	5	$274.25	$260.42	$13.83
JOHNSON CONTROLS INC	01-29-99	01-29-01	5	$312.84	$319.82	($6.98)
CITIGROUP INC	12-01-98	01-30-01	10	$557.50	$252.75	$305.75
SOLECTRON CORP DELAWARE	01-14-99	01-30-01	5	$197.50	$104.37	$93.13
ENRON CORP OREGON	05-27-99	02-05-01	10	$799.50	$355.81	$443.69
ALCOA INC	07-12-99	02-09-01	5	$181.50	$155.22	$26.28
MCDATA CORP	05-25-99	02-13-01	0.736	$20.48	$2.76	$17.72
JOHNSON CONTROLS INC	01-29-99	02-15-01	5	$321.90	$319.81	$2.09
CITIGROUP INC	12-01-98	02-26-01	4.500	$221.85	$113.29	$108.56
CITIGROUP INC	01-07-99	02-26-01	0.500	$24.65	$14.44	$10.21
SOLECTRON CORP DELAWARE	01-14-99	02-26-01	30	$900.46	$626.25	$274.21
KROGER COMPANY	11-15-99	02-28-01	15	$363.89	$357.95	$5.94
PHILIP MORRIS COS INC	12-01-98	02-28-01	10	$480.37	$570.00	($89.63)
CITIGROUP INC	01-07-99	03-08-01	10	$505.75	$288.75	$217.00
GENERAL ELECTRIC CO	12-01-98	03-08-01	20	$913.80	$604.58	$309.22
JOHNSON CONTROLS INC	02-25-99	03-08-01	5	$338.77	$320.21	$18.56
KROGER COMPANY	11-15-99	03-08-01	10	$240.77	$238.63	$2.14
PROVIDIAN FINANCIAL CORP	01-05-00	03-08-01	10	$526.08	$409.33	$116.75

3083

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
SOLECTRON CORP DELAWARE	01-14-99	03-08-01	15	$421.12	$313.13	$107.99
PHILIP MORRIS COS INC	12-01-98	03-15-01	5	$236.35	$285.00	($48.65)
SOLECTRON CORP DELAWARE	01-14-99	03-16-01	10	$227.50	$208.75	$18.75
SOLECTRON CORP DELAWARE	02-11-99	03-16-01	10	$227.50	$211.88	$15.62
PROVIDIAN FINANCIAL CORP	01-05-00	03-22-01	15	$603.75	$613.99	($10.24)
SOLECTRON CORP DELAWARE	02-11-99	03-22-01	10	$188.56	$211.87	($23.31)
SOLECTRON CORP DELAWARE	05-10-99	03-22-01	15	$282.84	$393.75	($110.91)
HONEYWELL INTERNATIONAL INC	12-01-98	03-29-01	13	$521.72	$545.13	($23.41)
HONEYWELL INTERNATIONAL INC	01-07-99	03-29-01	2	$80.26	$87.75	($7.49)
NORTEL NETWORKS CORP HOLDINGS CO	03-15-99	03-29-01	20	$269.35	$302.81	($33.46)
PHELPS DODGE CORP	12-01-98	03-30-01	15	$604.38	$846.56	($242.18)
MERCK & CO	12-01-98	04-09-01	5	$385.35	$391.87	($6.52)
MERCK & CO	12-17-99	04-09-01	5	$385.35	$338.75	$46.60
PHILIP MORRIS COS INC	12-01-98	04-09-01	15	$703.27	$855.00	($151.73)
UNITED TECHNOLOGIES CORP	12-09-98	04-09-01	10	$750.12	$532.98	$217.14
TARGET CORP	12-01-98	04-19-01	20	$753.68	$455.63	$298.05
UNITEDHEALTH GROUP INC	11-15-99	04-19-01	5	$301.63	$137.32	$164.31
COX COMMUNICATIONS INC NEW CLASS A	12-01-98	05-03-01	15	$662.06	$395.16	$266.90
UNITEDHEALTH GROUP INC	11-15-99	05-03-01	10	$615.44	$274.63	$340.81
JOHNSON CONTROLS INC	03-15-99	05-07-01	10	$710.80	$635.96	$74.84
UNITED TECHNOLOGIES CORP	06-29-99	05-07-01	5	$390.39	$345.00	$45.39
UNITED TECHNOLOGIES CORP	11-22-99	05-07-01	5	$390.39	$274.47	$115.92

3084

Realized Gain (Loss) Detail
(CONTINUED)

Long Term (continued)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
E M C CORP MASS	05-25-99	05-15-01	5	$198.00	$120.51	$77.49
E M C CORP MASS	09-20-99	05-15-01	10	$396.00	$370.94	$25.06
SCHERING PLOUGH CORP	03-13-00	05-15-01	20	$743.00	$738.58	$4.42
CISCO SYSTEMS INC	01-07-99	05-30-01	20	$377.60	$513.44	($135.84)
CISCO SYSTEMS INC	03-02-99	05-30-01	5	$94.40	$124.14	($29.74)
HOME DEPOT INC	12-01-98	05-31-01	20	$978.00	$674.16	$303.84
JOHNSON CONTROLS INC	02-16-00	05-31-01	10	$694.61	$572.06	$122.55
DELTA AIR LINES INC	12-01-98	06-11-01	15	$656.63	$835.31	($178.68)
UNITED TECHNOLOGIES CORP	11-22-99	06-11-01	10	$805.51	$548.95	$256.56
UNITED TECHNOLOGIES CORP	02-24-00	06-11-01	5	$402.76	$254.69	$148.07
BANK ONE CORP	04-11-00	06-25-01	35	$1,244.95	$1,135.74	$109.21
FORD MOTOR CO NEW	01-29-99	06-25-01	8.296	$207.57	$284.65	($77.08)
FORD MOTOR CO NEW	04-12-99	06-25-01	26.223	$656.10	$885.34	($229.24)
FORD MOTOR CO NEW	03-29-00	06-25-01	10.481	$262.24	$260.28	$1.96
SCHLUMBERGER LIMITED	12-01-98	07-09-01	5	$258.50	$194.36	$64.14
FORD MOTOR CO NEW	03-29-00	07-10-01	7	$173.38	$173.84	($0.46)
GENERAL ELECTRIC CO	12-01-98	07-13-01	35	$1,636.25	$1,058.02	$578.23
NETWORK APPLIANCE INC	06-29-00	07-13-01	10	$114.00	$787.96	($673.96)
SOLECTRON CORP DELAWARE	05-10-99	07-13-01	15	$236.64	$393.75	($157.11)
COX COMMUNICATIONS INC NEW CLASS A	12-01-98	07-23-01	25	$977.04	$658.59	$318.45
GAP INC	05-25-99	07-23-01	5	$148.03	$205.83	($57.80)
GAP INC	09-13-99	07-23-01	15	$444.07	$528.75	($84.68)
GAP INC	04-11-00	07-23-01	10	$296.05	$439.77	($143.72)

3085

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Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
PHARMACIA CORP	07-10-00	07-23-01	35	$1,516.28	$1,954.95	($438.67)
PHARMACIA CORP	07-18-00	07-23-01	5	$216.61	$280.28	($63.67)
COLGATE PALMOLIVE CO	12-01-98	08-06-01	10	$528.53	$429.06	$99.47
HONEYWELL INTERNATIONAL INC	01-07-99	08-09-01	3	$107.89	$131.63	($23.74)
HONEYWELL INTERNATIONAL INC	12-29-99	08-09-01	10	$359.64	$569.45	($209.81)
HONEYWELL INTERNATIONAL INC	04-19-00	08-09-01	15	$539.45	$831.81	($292.36)
HONEYWELL INTERNATIONAL INC	07-18-00	08-09-01	10	$359.64	$369.38	($9.74)
AES CORP	02-07-00	08-14-01	30	$1,056.11	$1,193.15	($137.04)
AES CORP	03-29-00	08-14-01	20	$704.07	$758.89	($54.82)
ENRON CORP OREGON	05-27-99	08-17-01	5	$182.52	$177.90	$4.62
PROVIDIAN FINANCIAL CORP	01-05-00	08-17-01	15	$680.74	$613.98	$66.76
PROVIDIAN FINANCIAL CORP	03-07-00	08-17-01	10	$453.82	$307.80	$146.02
PROVIDIAN FINANCIAL CORP	05-04-00	08-17-01	30	$1,361.48	$1,323.15	$38.33
SBC COMMUNICATIONS INC	10-23-97	08-27-01	40	$1,688.28	$1,292.50	$395.78
SBC COMMUNICATIONS INC	03-25-99	08-27-01	46	$1,941.53	$2,164.93	($223.40)
STAPLES INC RETAIL & DELIVERY	03-29-00	08-27-01	20	$305.89	$401.84	($95.95)
AES CORP	06-21-00	08-29-01	5	$178.95	$221.25	($42.30)
ALCOA INC	07-12-99	08-29-01	35	$1,330.00	$1,086.52	$243.48
ALCOA INC	11-02-99	08-29-01	10	$380.00	$305.63	$74.37
AMERICAN INTERNATIONAL GROUP INC	12-01-98	08-29-01	18	$1,406.70	$894.61	$512.09
AMERICAN INTERNATIONAL GROUP INC	06-27-00	08-29-01	15	$1,172.25	$1,190.00	($17.75)

3086

Realized Gain (Loss) Detail
(CONTINUED)

Long Term (continued)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
AVON PRODUCTS INC	12-30-99	08-29-01	15	$694.50	$509.19	$185.31
CISCO SYSTEMS INC	03-02-99	08-29-01	35	$596.05	$868.99	($272.94)
CITIGROUP INC	01-07-99	08-29-01	9.500	$440.80	$274.31	$166.49
CITIGROUP INC	02-17-99	08-29-01	10.500	$487.20	$270.88	$216.32
CITIGROUP INC	08-03-99	08-29-01	27	$1,252.80	$891.25	$361.55
CITIGROUP INC	08-04-00	08-29-01	36	$1,670.40	$1,366.27	$304.13
COX COMMUNICATIONS INC NEW CLASS A	12-01-98	08-29-01	10	$401.50	$263.44	$138.06
FEDERATED DEPARTMENT STORES INC DEL	03-21-00	08-29-01	15	$565.35	$635.41	($70.06)
FEDERATED DEPARTMENT STORES INC DEL	07-31-00	08-29-01	25	$942.25	$623.02	$319.23
GENERAL ELECTRIC CO	06-01-99	08-29-01	30	$1,224.00	$1,008.13	$215.87
GENERAL ELECTRIC CO	12-17-99	08-29-01	15	$612.00	$766.88	($154.88)
HOME DEPOT INC	12-01-98	08-29-01	12.500	$587.37	$421.35	$166.02
HOME DEPOT INC	01-07-99	08-29-01	7.500	$352.43	$291.25	$61.18
HOME DEPOT INC	06-08-99	08-29-01	22.500	$1,057.28	$889.30	$167.98
HOME DEPOT INC	09-13-99	08-29-01	7.500	$352.42	$339.05	$13.37
INTEL CORP	12-15-97	08-29-01	30	$845.40	$525.94	$319.46
INTEL CORP	02-25-99	08-29-01	20	$563.60	$632.81	($69.21)
INTEL CORP	10-19-99	08-29-01	10	$281.80	$327.50	($45.70)
J P MORGAN CHASE & CO COMMON NEW	09-20-99	08-29-01	10	$398.00	$520.83	($122.83)
J P MORGAN CHASE & CO COMMON NEW	01-12-00	08-29-01	15	$597.00	$703.13	($106.13)
JOHNSON CONTROLS INC	02-16-00	08-29-01	5	$361.00	$286.03	$74.97
JOHNSON CONTROLS INC	06-13-00	08-29-01	5	$361.00	$273.58	$87.42
KROGER COMPANY	11-15-99	08-29-01	30	$789.90	$715.90	$74.00
KROGER COMPANY	11-22-99	08-29-01	30	$789.90	$688.13	$101.77

3087

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
KROGER COMPANY	12-30-99	08-29-01	5	$131.65	$95.31	$36.34
KROGER COMPANY	05-17-00	08-29-01	25	$658.25	$518.52	$139.73
KROGER COMPANY	06-27-00	08-29-01	30	$789.90	$628.67	$161.23
MC GRAW HILL COMPANIES INC	04-19-00	08-29-01	10	$602.50	$491.31	$111.19
MICROSOFT CORP WASHINGTON	12-01-98	08-29-01	10	$602.50	$639.06	($36.56)
MICROSOFT CORP WASHINGTON	01-07-99	08-29-01	10	$602.50	$746.13	($143.63)
MICROSOFT CORP WASHINGTON	04-12-99	08-29-01	10	$602.50	$921.75	($319.25)
ORACLE CORP	05-04-00	08-29-01	10	$134.10	$373.73	($239.63)
ORACLE CORP	06-27-00	08-29-01	30	$402.30	$1,229.69	($827.39)
ORACLE CORP	08-04-00	08-29-01	10	$134.10	$409.53	($275.43)
PFIZER INC	06-01-99	08-29-01	40	$1,584.00	$1,435.00	$149.00
PFIZER INC	11-22-99	08-29-01	10	$396.00	$346.22	$49.78
PFIZER INC	03-13-00	08-29-01	15	$594.00	$510.00	$84.00
PFIZER INC	05-30-00	08-29-01	10	$396.00	$438.13	($42.13)
PFIZER INC	07-31-00	08-29-01	5	$198.00	$217.81	($19.81)
PHILIP MORRIS COS INC	12-01-98	08-29-01	10	$474.50	$570.00	($95.50)
PHILIP MORRIS COS INC	01-07-99	08-29-01	5	$237.25	$266.88	($29.63)
PHILIP MORRIS COS INC	07-10-00	08-29-01	20	$949.00	$535.86	$413.14
TXU CORP	10-23-97	08-29-01	35	$1,689.45	$1,299.37	$390.08
TENET HEALTHCARE CORP	12-13-99	08-29-01	45	$2,521.35	$1,077.43	$1,443.92
TEXACO INC MERGER	12-01-98	08-29-01	20	$1,407.00	$1,137.50	$269.50
TEXACO INC MERGER	06-29-00	08-29-01	15	$1,055.25	$823.71	$231.54
TEXAS INSTRUMENTS INC	06-22-99	08-29-01	20	$677.60	$695.90	($18.30)
TYCO INTERNATIONAL LTD NEW	12-01-98	08-29-01	40	$2,105.60	$1,307.50	$798.10
TYCO INTERNATIONAL LTD NEW	01-27-00	08-29-01	20	$1,052.80	$846.20	$206.60

3088

Realized Gain (Loss) Detail (CONTINUED)

	ORIGINAL TRADE DATE	CLOSING DATE	QUANTITY	PROCEEDS	COST BASIS	REALIZED GAIN OR (LOSS)
Long Term (continued)						
US BANCORP DELAWARE NEW	02-07-00	08-29-01	40	$964.80	$906.38	$58.42
US BANCORP DELAWARE NEW	04-24-00	08-29-01	30	$723.60	$840.00	($116.40)
UNITEDHEALTH GROUP INC	11-15-99	08-29-01	15	$1,039.65	$411.95	$627.70
Total Long Term Realized Gains (Losses)				$86,028.53	$78,112.03	$7,916.50

3089

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Carolyn McCarthy

Page 50 of 50

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Land and Property Under Construction Westhampton, NY								X						X						X											

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3090

SCHEDULE IV — TRANSACTIONS

Name Carolyn McCarthy | Page 1 of 25

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	See Attached Brokerage Statements														

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3092

Trading Activity

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
ALLIANCE TECHNOLOGY FUND INCORPORATED	174.826	04/17/2001	04/18/2001		12,883.54	SOLD	
DREYFUS GROWTH & VALUE FUNDS INC TECHNOLOGY GROWTH FUND	317.361	04/17/2001	04/18/2001		8,717.91	SOLD	
INVESCO SECTOR FDS INC HEALTH SCIENCE FUND	227.688	04/17/2001	04/18/2001		11,006.44	SOLD	
JANUS INVESTMENT FUND WORLDWIDE FUND	620.039	04/17/2001	04/18/2001		30,022.29	SOLD	
MONTGOMERY FUNDS SHORT DURATION GOVERNMENT FUND	1,444.446	04/17/2001	04/18/2001		14,718.90	SOLD	
NEW YORK CITY GO SERIES G 2001 - TAX EXEMPT RO FA 3 7/8 08/01/2006 DTD 02/22/01 1ST CPN 08/01/01	25,000	02/21/2001	02/26/2001	25,005.25		BOUGHT	10.76 Municipal Paid
NEW YORK CITY GO SERIES G 2001 - TAX EXEMPT RO FA 3 7/8 08/01/2006 DTD 02/22/01 1ST CPN 08/01/01	25,000	10/09/2001	10/12/2001		25,245.75	SOLD	191.06 Municipal Recd
NUVEEN NEW YORK PERFORMANCE PLUS MUN FD INC MUN AUCTION RATE PREFERRED SER M PRICE IS $ 25,000	1	04/16/2001	04/17/2001		25,000.00	SOLD	
NUVEEN NEW YORK PERFORMANCE PLUS MUN FUND AUC RATE CUM PFD 800 SHS SER T PRICE IS $ 25,000	1	04/17/2001	04/18/2001		25,000.00	SOLD	
NUVEEN NEW YORK INVESTMENT QUALITY MUN AUCTION RATE PFD SERIES M PRICE IS $ 25,000	1	04/16/2001	04/17/2001		25,000.00	SOLD	
PRUDENTIAL 20/20 FUND CLASS Z	5,895.612	04/17/2001	04/18/2001		65,736.07	SOLD	
PRUDENTIAL TAX MANAGED EQUITY FUND CLZ	1,950	04/17/2001	04/18/2001		20,221.50	SOLD	
RS EMERGING GROWTH FUND	381.289	04/17/2001	04/18/2001		12,449.09	SOLD	
VAN KAMPEN AGGRESSIVE GRWTH INTERNET 19 (SUBJ TO DEFERRED SALES CHARGE)	500	04/17/2001	04/20/2001		1,255.60	SOLD	
VAN KAMPEN TELECOMUNICATIONS TR SR 9 (SUBJ TO DEFERRED SALES CHARGE)	1,000	04/17/2001	04/20/2001		2,963.40	SOLD	

Redemptions, Exchanges & Other Activity

DESCRIPTION	QUANTITY	RECEIVED/ CHARGED	DELIVERED/ CREDITED	AMOUNT CHARGED	AMOUNT CREDITED	EXPLANATION
NASSAU CO NY GENERAL OBLIGATION COMBINED SEWER DIST SERIES P	25,000		03/01		25,000.00	MATURITY
Total Redemptions, Exchanges & Other Activity					$25,000.00	

2001 Consolidated Statement

Securities Account

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential compan

HON CAROLYN MCCARTHY Jan 1 - Dec 31, 2001 Account Number: MAC-616074-S2 Page 4 of 10

Trading Activity

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
AOL TIME WARNER INC	500	04/27/2001	05/02/2001		24,760.00	SOLD	
AT&T CORP	85	04/27/2001	05/02/2001	1,897.20		BOUGHT	
AT&T CORP	85	06/19/2001	06/22/2001		1,741.28	SOLD	
AGERE SYS INC CL A	505	04/27/2001	05/02/2001	3,267.35		BOUGHT	
AGERE SYS INC CL A	115	09/04/2001	09/07/2001	584.20		BOUGHT	
AGILENT TECHNOLOGIES INC	50	04/27/2001	05/02/2001	1,990.50		BOUGHT	
AGILENT TECHNOLOGIES INC	50	06/15/2001	06/20/2001		1,520.38	SOLD	
AMERICAN EXPRESS CO	390	04/27/2001	05/02/2001	16,758.30		BOUGHT	
AMERICAN EXPRESS CO	140	09/04/2001	09/07/2001	5,019.00		BOUGHT	
AMERICAN HOME PRODUCTS CORP	155	04/27/2001	05/02/2001	8,828.80		BOUGHT	
AMERICAN HOME PRODUCTS CORP	35	05/24/2001	05/30/2001		2,114.27	SOLD	
AMERICAN HOME PRODUCTS CORP	20	09/04/2001	09/07/2001	1,144.20		BOUGHT	
AMERICAN HOME PRODUCTS CORP	140	12/18/2001	12/21/2001		8,098.15	SOLD	
AMERICAN INTERNATIONAL GROUP INC	110	04/27/2001	05/02/2001	8,884.70		BOUGHT	
AMERICAN INTERNATIONAL GROUP INC	30	09/04/2001	09/07/2001	2,314.50		BOUGHT	
ADN CORP	80	10/04/2001	10/10/2001	3,524.77		BOUGHT	
BANK ONE CORP	50	05/03/2001	05/08/2001	1,907.35		BOUGHT	
BANK ONE CORP	60	09/04/2001	09/07/2001	2,085.00		BOUGHT	
BANK ONE CORP	10	12/27/2001	01/02/2002	394.93		BOUGHT	
BERKSHIRE HATHAWAY INC CLASS B HLDG CO	3	04/27/2001	05/02/2001	6,609.00		BOUGHT	
BRISTOL MYERS SQUIBB CO	145	04/27/2001	05/02/2001	8,228.75		BOUGHT	
BRISTOL MYERS SQUIBB CO	10	09/04/2001	09/07/2001	572.00		BOUGHT	
BRISTOL MYERS SQUIBB CO	155	12/18/2001	12/21/2001		7,876.82	SOLD	
CENDANT CP	400	04/27/2001	05/02/2001		7,088.00	SOLD	

11 34843

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
CITIGROUP INC	200	04/27/2001	05/02/2001	10,044.00		BOUGHT	
CITIGROUP INC	55	09/04/2001	09/07/2001	2,541.55		BOUGHT	
COMPUTER ASSOCIATES INTL INC	700	04/27/2001	05/02/2001		25,305.00	SOLD	
COSTCO WHOLESALE CORP	195	04/27/2001	05/02/2001	7,020.00		BOUGHT	
COSTCO WHOLESALE CORP	60	09/04/2001	09/07/2001	2,283.00		BOUGHT	
DEVON ENERGY CORP	40	05/15/2001	05/18/2001	2,402.33		BOUGHT	
DEVON ENERGY CORP	45	09/04/2001	09/07/2001	1,991.25		BOUGHT	
DEVON ENERGY CORP	20	12/27/2001	01/02/2002	766.08		BOUGHT	
DOVER CORP DELAWARE	70	04/27/2001	05/02/2001	2,670.50		BOUGHT	
DOVER CORP DELAWARE	25	09/04/2001	09/07/2001	883.50		BOUGHT	
DUN & BRADSTREET CORP DEL NEW	90	04/27/2001	05/02/2001	2,407.50		BOUGHT	
FREDDIE MAC VOTING COM STOCK	75	04/27/2001	05/02/2001	4,807.50		BOUGHT	
FREDDIE MAC VOTING COM STOCK	25	09/04/2001	09/07/2001	1,562.25		BOUGHT	
FREDDIE MAC VOTING COM STOCK	100	09/19/2001	09/24/2001		6,418.80	SOLD	
GOLDEN WEST FINL CORP DELAWARE	90	04/27/2001	05/02/2001	5,296.50		BOUGHT	
GOLDEN WEST FINL CORP DELAWARE	20	09/04/2001	09/07/2001	1,144.00		BOUGHT	
HEWLETT PACKARD CO	215	04/27/2001	05/02/2001	6,136.10		BOUGHT	
HEWLETT PACKARD CO	35	09/04/2001	09/07/2001	728.70		BOUGHT	
HOUSEHOLD INTERNATIONAL INC	190	04/27/2001	05/02/2001	12,205.60		BOUGHT	
HOUSEHOLD INTERNATIONAL INC	70	09/04/2001	09/07/2001	4,006.80		BOUGHT	
INTERNATIONAL BUSINESS MACHINES	15	04/27/2001	05/02/2001	1,740.00		BOUGHT	
INTERNATIONAL BUSINESS MACHINES	15	05/07/2001	05/10/2001		1,746.82	SOLD	
KINDER MORGAN INC	68	12/06/2001	12/11/2001	3,463.00		BOUGHT	
KINDER MORGAN INC	5	12/07/2001	12/12/2001	256.00		BOUGHT	
LEXMARK INTERNATIONAL INC CLA	100	04/27/2001	05/02/2001	6,045.00		BOUGHT	
LILLY ELI & CO	75	04/27/2001	05/02/2001	6,066.75		BOUGHT	
LILLY ELI & CO	25	09/04/2001	09/07/2001	1,979.75		BOUGHT	
LOEWS CORP	29	06/18/2001	06/21/2001	1,898.01		BOUGHT	
LOEWS CORP	30	09/04/2001	09/07/2001	1,503.00		BOUGHT	
MARRIOTT INTERNATIONAL INC NEW CLASS A	45	04/27/2001	05/02/2001	1,962.00		BOUGHT	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
MARRIOTT INTERNATIONAL INC NEW CLASS A	15	09/04/2001	09/07/2001	663.00		BOUGHT	
MASCO CORP DELAWARE	280	04/27/2001	05/02/2001	6,697.60		BOUGHT	
MASCO CORP DELAWARE	45	09/04/2001	09/07/2001	1,161.90		BOUGHT	
MCDONALDS CORP	180	04/27/2001	05/02/2001	4,867.20		BOUGHT	
MCDONALDS CORP	10	09/04/2001	09/07/2001	307.00		BOUGHT	
MERCK & CO	95	04/27/2001	05/02/2001	7,154.45		BOUGHT	
MERCK & CO	56	07/09/2001	07/12/2001	3,642.13		BOUGHT	
MERCK & CO	55	09/04/2001	09/07/2001	3,625.60		BOUGHT	
MINNESOTA MINING MANUFACTURING CO	35	04/27/2001	05/02/2001	4,164.30		BOUGHT	
MINNESOTA MINING MANUFACTURING CO	10	09/04/2001	09/07/2001	1,049.80		BOUGHT	
MOODYS CORP	65	04/27/2001	05/02/2001	2,015.00		BOUGHT	
MOODYS CORP	10	09/04/2001	09/07/2001	347.40		BOUGHT	
MORGAN STANLEY DEAN WITTER & CO	70	04/27/2001	05/02/2001	4,538.10		BOUGHT	
MORGAN STANLEY DEAN WITTER & CO	15	09/04/2001	09/07/2001	800.70		BOUGHT	
MOTOROLA INC	180	04/27/2001	05/02/2001	2,739.60		BOUGHT	
MOTOROLA INC	180	05/03/2001	05/08/2001		2,864.93	SOLD	
NASDAQ 100 TRUST SERIES 1	100	04/27/2001	05/02/2001		4,508.00	SOLD	
PHILIP MORRIS COS INC	225	04/27/2001	05/02/2001	11,254.50		BOUGHT	
PHILIP MORRIS COS INC	50	09/04/2001	09/07/2001	2,429.00		BOUGHT	
PHILLIPS PETROLEUM CO	40	05/16/2001	05/21/2001	2,561.30		BOUGHT	
PHILLIPS PETROLEUM CO AS OF 07/10/01	25	07/11/2001	07/13/2001	1,416.40		BOUGHT	
PHILLIPS PETROLEUM CO	40	09/04/2001	09/07/2001	2,355.20		BOUGHT	
PHILLIPS PETROLEUM CO	5	12/21/2001	12/27/2001	294.50		BOUGHT	
PROGRESSIVE CORP OHIO	20	04/27/2001	05/02/2001	2,319.80		BOUGHT	
PROGRESSIVE CORP OHIO	10	09/04/2001	09/07/2001	1,294.00		BOUGHT	
PROVIDIAN FINANCIAL CORP	75	04/27/2001	05/02/2001	4,007.25		BOUGHT	
PROVIDIAN FINANCIAL CORP	35	09/04/2001	09/07/2001	1,123.50		BOUGHT	
PROVIDIAN FINANCIAL CORP	110	10/25/2001	10/30/2001		417.00	SOLD	
SAFEWAY INC	80	12/18/2001	12/21/2001	3,324.03		BOUGHT	
SEALED AIR CORP NEW	125	04/27/2001	05/02/2001	4,818.75		BOUGHT	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
SEALED AIR CORP NEW	40	09/04/2001	09/07/2001	1,617.60		BOUGHT	
STILWELL FINANCIAL SERVICES INC	65	04/27/2001	05/02/2001	1,915.55		BOUGHT	
STILWELL FINANCIAL SERVICES INC	15	09/04/2001	09/07/2001	434.40		BOUGHT	
STILWELL FINANCIAL SERVICES INC	80	09/28/2001	10/03/2001		1,571.34	SOLD	
TELLABS INC DELAWARE	295	04/27/2001	05/02/2001	9,469.50		BOUGHT	
TELLABS INC DELAWARE	115	09/04/2001	09/07/2001	1,529.50		BOUGHT	
TEXAS INSTRUMENTS INC	100	04/27/2001	05/02/2001	3,616.00		BOUGHT	
TEXAS INSTRUMENTS INC	100	06/21/2001	06/26/2001		2,953.75	SOLD	
TRANSATLANTIC HOLDINGS INC	35	04/27/2001	05/02/2001	3,736.25		BOUGHT	
TRANSATLANTIC HOLDINGS INC	20	09/04/2001	09/07/2001	1,472.40		BOUGHT	
TYCO INTERNATIONAL LTD NEW	305	04/27/2001	05/02/2001	16,299.20		BOUGHT	
TYCO INTERNATIONAL LTD NEW	100	09/04/2001	09/07/2001	5,149.00		BOUGHT	
TYCO INTERNATIONAL LTD NEW AS OF 11/20/01	110	11/21/2001	11/26/2001		6,325.03	SOLD	
UNITED PARCEL SERVICE CLASS B	130	04/27/2001	05/02/2001	7,423.00		BOUGHT	
UNITED PARCEL SERVICE CLASS B	35	09/04/2001	09/07/2001	1,924.30		BOUGHT	
UNITED PARCEL SERVICE CLASS B	10	12/21/2001	12/27/2001	551.27		BOUGHT	
VIACOM INC CLASS B	434	04/27/2001	05/02/2001		22,485.54	SOLD	
VULCAN MATERIALS CO	50	04/27/2001	05/02/2001	2,272.00		BOUGHT	
WELLS FARGO AND CO NEW	190	04/27/2001	05/02/2001	8,920.50		BOUGHT	
WELLS FARGO AND CO NEW	20	09/04/2001	09/07/2001	919.80		BOUGHT	
ZIMMER HLDGS INC	14	10/30/2001	11/02/2001		412.76	SOLD	

2001 Consolidated Statement

Securities Account

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential c

HON CAROLYN MCCARTHY | Jan 1 - Dec 31, 2001 | Account Number: MAC-616074-S2 | Page 8 of 1

Redemptions, Exchanges & Other Activity

DESCRIPTION	QUANTITY	RECEIVED/ CHARGED	DELIVERED/ CREDITED	AMOUNT CHARGED	AMOUNT CREDITED	EXPLANATION
FUNDS RECEIVED IN LIEU OF FRACT SHARE TRANSATLANTIC HLDGS			07/26		38.51	FRACT SHR
TRANSATLANTIC HLDGS STOCK SPLIT	17	07/26				STOCK DIV
ZIMMER HLDGS INC SPINOFF DISTRIBUTION	14	08/10				STOCK DIV
FUNDS RECEIVED IN LIEU OF FRACT SHARE ZIMMER HLDGS INC			08/21		14.21	FRACT SHR
Total Redemptions, Exchanges & Other Activity					$52.72	

11 34847

Trading Activity

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
AOL TIME WARNER INC	53	07/26/2001	07/31/2001	2,293.48		BOUGHT	
AOL TIME WARNER INC	15	09/06/2001	09/11/2001	526.50		BOUGHT	
AOL TIME WARNER INC	50	11/16/2001	11/21/2001	1,836.80		BOUGHT	
AMERICAN INTERNATIONAL GROUP INC	65	04/26/2001	05/01/2001	5,193.50		BOUGHT	
AMERICAN INTERNATIONAL GROUP INC	45	09/06/2001	09/11/2001	3,375.00		BOUGHT	
AMGEN INC	70	04/26/2001	05/01/2001	3,983.00		BOUGHT	
AMGEN INC	40	09/06/2001	09/11/2001	2,624.00		BOUGHT	
AUTOMATIC DATA PROCESSING INC	80	04/26/2001	05/01/2001	4,239.20		BOUGHT	
AUTOMATIC DATA PROCESSING INC	36	07/25/2001	07/30/2001		1,849.24	SOLD	
AUTOMATIC DATA PROCESSING INC	45	09/06/2001	09/11/2001	2,248.20		BOUGHT	
BAXTER INTERNATIONAL INC	55	09/06/2001	09/11/2001	2,933.05		BOUGHT	
BRISTOL MYERS SQUIBB CO	23	01/19/2001	01/24/2001	1,523.47		BOUGHT	
BRISTOL MYERS SQUIBB CO	75	04/26/2001	05/01/2001	4,249.50		BOUGHT	
BRISTOL MYERS SQUIBB CO	50	09/06/2001	09/11/2001	2,869.00		BOUGHT	
CVS CORP DELAWARE	65	04/26/2001	05/01/2001	3,711.50		BOUGHT	
CVS CORP DELAWARE	20	09/06/2001	09/11/2001	738.00		BOUGHT	
CVS CORP DELAWARE	85	10/16/2001	10/19/2001		2,800.14	SOLD	
CARDINAL HEALTH INC	15	01/18/2001	01/23/2001	1,419.76		BOUGHT	
CARDINAL HEALTH INC	55	04/26/2001	05/01/2001	3,602.50		BOUGHT	
CARDINAL HEALTH INC	30	09/06/2001	09/11/2001	2,208.90		BOUGHT	
CISCO SYSTEMS INC	20	01/19/2001	01/24/2001	840.65		BOUGHT	
CISCO SYSTEMS INC	100	04/26/2001	05/01/2001	1,514.64		BOUGHT	
CISCO SYSTEMS INC	65	09/06/2001	09/11/2001	966.55		BOUGHT	
COCA COLA CO DELAWARE	106	07/25/2001	07/30/2001		4,726.33	SOLD	
COLGATE PALMOLIVE CO	90	04/26/2001	05/01/2001	4,864.50		BOUGHT	

3099

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
COLGATE PALMOLIVE CO	34	07/20/2001	07/25/2001		1,895.57	SOLD	
COLGATE PALMOLIVE CO	45	09/06/2001	09/11/2001	2,517.75		BOUGHT	
WALT DISNEY HOLDINGS CO	70	04/26/2001	05/01/2001	2,223.90		BOUGHT	
WALT DISNEY HOLDINGS CO	55	09/06/2001	09/11/2001	1,343.10		BOUGHT	
WALT DISNEY HOLDINGS CO	213	09/26/2001	10/01/2001		3,727.93	SOLD	
E M C CORP MASS	55	04/26/2001	05/01/2001	2,034.45		BOUGHT	
E M C CORP MASS	45	09/06/2001	09/11/2001	629.55		BOUGHT	
ELECTRONIC DATA SYSTEMS CORP	48	10/05/2001	10/11/2001	2,770.75		BOUGHT	
ELECTRONIC DATA SYSTEMS CORP	21	11/20/2001	11/26/2001	1,449.91		BOUGHT	
ENRON CORP OREGON AO 06/26 UNSOLICITED	76	06/27/2001	06/29/2001	3,325.85		BOUGHT	
ENRON CORP OREGON	25	09/06/2001	09/11/2001	760.75		BOUGHT	
ENRON CORP OREGON	101	10/31/2001	11/05/2001		1,336.54	SOLD	
FANNIE MAE	55	04/26/2001	05/01/2001	4,410.45		BOUGHT	
FANNIE MAE	35	09/06/2001	09/11/2001	2,661.40		BOUGHT	
FANNIE MAE	32	12/07/2001	12/12/2001		2,456.19	SOLD	
GENERAL ELECTRIC CO	120	04/26/2001	05/01/2001	5,839.20		BOUGHT	
GENERAL ELECTRIC CO	95	09/06/2001	09/11/2001	3,057.95		BOUGHT	
HEWLETT PACKARD CO	70	01/18/2001	01/23/2001		2,404.43	SOLD	
HOME DEPOT INC	90	04/26/2001	05/01/2001	4,224.60		BOUGHT	
HOME DEPOT INC	10	09/06/2001	09/11/2001	436.10		BOUGHT	
INTEL CORP	72	01/18/2001	01/23/2001		2,296.12	SOLD	
INTERNATIONAL BUSINESS MACHINES	30	04/26/2001	05/01/2001	3,420.60		BOUGHT	
INTERNATIONAL BUSINESS MACHINES	20	09/06/2001	09/11/2001	1,969.20		BOUGHT	
JOHNSON & JOHNSON	43	07/25/2001	07/30/2001	2,250.55		BOUGHT	
JOHNSON & JOHNSON	10	09/06/2001	09/11/2001	570.80		BOUGHT	
JOHNSON & JOHNSON AO 10/04 UNSOLICITED	55	10/05/2001	10/10/2001	2,998.24		BOUGHT	
MBNA CORP	34	04/04/2001	04/09/2001	1,059.56		BOUGHT	
MBNA CORP	95	04/26/2001	05/01/2001	3,373.67		BOUGHT	
MBNA CORP	75	09/06/2001	09/11/2001	2,382.00		BOUGHT	
MBNA CORP	37	10/16/2001	10/19/2001	1,154.26		BOUGHT	

3100

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
MCDATA CORP	2	02/21/2001	02/26/2001		47.50	SOLD	
MEDTRONIC INC	85	04/26/2001	05/01/2001	3,655.00		BOUGHT	
MEDTRONIC INC	55	09/06/2001	09/11/2001	2,346.85		BOUGHT	
MERCK & CO	22	01/18/2001	01/23/2001		1,833.79	SOLD	
MERCK & CO	50	04/26/2001	05/01/2001	3,752.00		BOUGHT	
MERCK & CO	35	09/06/2001	09/11/2001	2,308.25		BOUGHT	
MERCK & CO	63	09/26/2001	10/01/2001		3,987.90	SOLD	
MICROSOFT CORP WASHINGTON	60	04/26/2001	05/01/2001	4,133.40		BOUGHT	
MICROSOFT CORP WASHINGTON	35	09/06/2001	09/11/2001	1,994.30		BOUGHT	
NOKIA CORP SPONSORED AMERICAN DEP RECEIPT ONE ADR REP ONE SHS	41	01/19/2001	01/24/2001	1,638.29		BOUGHT	
NOKIA CORP SPONSORED AMERICAN DEP RECEIPT ONE ADR REP ONE SHS	65	04/26/2001	05/01/2001	1,988.35		BOUGHT	
NOKIA CORP SPONSORED AMERICAN DEP RECEIPT ONE ADR REP ONE SHS	60	09/06/2001	09/11/2001	780.00		BOUGHT	
ORACLE CORP	60	04/26/2001	05/01/2001	1,024.80		BOUGHT	
ORACLE CORP	55	09/06/2001	09/11/2001	608.30		BOUGHT	
PEPSICO INC	51	07/26/2001	07/31/2001	2,313.83		BOUGHT	
PEPSICO INC	75	09/06/2001	09/11/2001	3,531.75		BOUGHT	
PFIZER INC	130	04/26/2001	05/01/2001	5,457.40		BOUGHT	
PFIZER INC	100	09/06/2001	09/11/2001	3,852.00		BOUGHT	
SCHERING PLOUGH CORP	85	07/25/2001	07/30/2001		3,190.31	SOLD	
STATE STREET CORP	35	04/26/2001	05/01/2001	3,587.15		BOUGHT	
STATE STREET CORP	45	09/06/2001	09/11/2001	2,023.20		BOUGHT	
STATE STREET CORP	40	12/10/2001	12/13/2001		2,146.81	SOLD	
SUN MICROSYSTEMS INC	75	04/26/2001	05/01/2001	1,191.00		BOUGHT	
SUN MICROSYSTEMS INC	50	09/06/2001	09/11/2001	527.50		BOUGHT	
SYSCO CORP	30	07/25/2001	07/30/2001	818.78		BOUGHT	
SYSCO CORP AS OF 07/26/01	54	07/30/2001	07/31/2001	1,489.29		BOUGHT	
SYSCO CORP	20	09/06/2001	09/11/2001	554.60		BOUGHT	
TARGET CORP	90	04/26/2001	05/01/2001	3,347.10		BOUGHT	
TARGET CORP	35	09/06/2001	09/11/2001	1,155.35		BOUGHT	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
TEXAS INSTRUMENTS INC	105	04/26/2001	05/01/2001	3,599.40		BOUGHT	
TEXAS INSTRUMENTS INC	35	06/22/2001	06/27/2001		1,071.41	SOLD	
TEXAS INSTRUMENTS INC	60	09/06/2001	09/11/2001	1,784.40		BOUGHT	
TYCO INTERNATIONAL LTD NEW	80	04/26/2001	05/01/2001	4,243.20		BOUGHT	
TYCO INTERNATIONAL LTD NEW	60	09/06/2001	09/11/2001	2,937.60		BOUGHT	
USA EDUCATION INC	14	07/26/2001	07/31/2001	1,102.27		BOUGHT	
WAL MART STORES INC	33	04/03/2001	04/06/2001	1,623.29		BOUGHT	
WAL MART STORES INC	80	04/26/2001	05/01/2001	4,071.20		BOUGHT	
WAL MART STORES INC	55	09/06/2001	09/11/2001	2,611.95		BOUGHT	
WALGREEN CO	130	04/26/2001	05/01/2001	5,480.80		BOUGHT	
WALGREEN CO	69	06/26/2001	06/29/2001		2,531.00	SOLD	
WALGREEN CO	70	09/06/2001	09/11/2001	2,439.50		BOUGHT	
WELLS FARGO AND CO NEW	48	04/03/2001	04/06/2001		2,364.74	SOLD	
WELLS FARGO AND CO NEW	70	04/26/2001	05/01/2001	3,232.60		BOUGHT	
WELLS FARGO AND CO NEW	40	09/06/2001	09/11/2001	1,815.20		BOUGHT	
ZIMMER HLDGS INC	16	08/30/2001	09/05/2001		432.00	SOLD	

2001 Consolidated Statement

Securities Account

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential c

HON CAROLYN MC CARTHY | Jan 1 - Dec 31, 2001 | Account Number: MAC-209649-76 | Page 8 of

Redemptions, Exchanges & Other Activity

DESCRIPTION	QUANTITY	RECEIVED/ CHARGED	DELIVERED/ CREDITED	AMOUNT CHARGED	AMOUNT CREDITED	EXPLANATION
FUNDS RECEIVED IN LIEU OF FRACT SHARE CARDINAL HEALTH INC			04/26		33.00	FRACT SHR
CARDINAL HEALTH INC STOCK SPLIT	20	04/26				STOCK DIV
FUNDS RECEIVED IN LIEU OF FRACT SHARE MCDATA CORP			02/13		15.01	FRACT SHR
MCDATA CORP SPINOFF DISTRIBUTION	2	02/13				STOCK DIV
STATE STREET CORP STOCK SPLIT	80	06/05				STOCK DIV
ZIMMER HLDGS INC SPINOFF DISTRIBUTION	16	08/10				STOCK DIV
Total Redemptions, Exchanges & Other Activity					$48.01	

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2001 Consolidated Statement

Securities Account

IMPORTANT TAX INFORMATION:
Please Retain

Prudential Financial

Securities products and services are offered through Prudential Securities Incorporated, a Prudential c

HON CAROLYN MCCARTHY Jan 1 - Dec 31, 2001 Account Number: 03T-868531-V1

Redemptions, Exchanges & Other Activity

DESCRIPTION	QUANTITY	RECEIVED/ CHARGED	DELIVERED/ CREDITED	AMOUNT CHARGED	AMOUNT CREDITED	EXPLANATION
AOL TIME WARNER INC	500	01/16				EXCHANGED
AMERICA ONLINE EXM	500		01/16			EXCHANGED

Trading Activity

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
AMDOCS LTD ORDINARY	45	06/04/2001	06/07/2001	2,925.00		BOUGHT	
AMDOCS LTD ORDINARY	20	07/26/2001	07/31/2001		880.80	SOLD	
AMDOCS LTD ORDINARY	25	08/13/2001	08/16/2001		1,062.66	SOLD	
AES CORP	5	01/29/2001	02/01/2001		295.81	SOLD	
AES CORP	50	04/25/2001	04/30/2001	2,408.00		BOUGHT	
AES CORP	50	08/14/2001	08/17/2001		1,760.18	SOLD	
AES CORP	60	08/29/2001	09/04/2001		2,147.40	SOLD	
AOL TIME WARNER INC	40	03/08/2001	03/13/2001	1,856.39		BOUGHT	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
AOL TIME WARNER INC	10	03/26/2001	03/29/2001	413.00		BOUGHT	
AOL TIME WARNER INC	10	04/19/2001	04/24/2001	490.80		BOUGHT	
AOL TIME WARNER INC	80	04/25/2001	04/30/2001	3,815.23		BOUGHT	
AOL TIME WARNER INC	5	05/03/2001	05/08/2001	253.56		BOUGHT	
AOL TIME WARNER INC	40	06/11/2001	06/14/2001	2,067.22		BOUGHT	
AOL TIME WARNER INC	185	08/29/2001	09/04/2001		7,122.50	SOLD	
ALCOA INC	5	02/09/2001	02/14/2001		181.50	SOLD	
ALCOA INC	35	04/25/2001	04/30/2001	1,416.80		BOUGHT	
ALCOA INC	80	08/29/2001	09/04/2001		3,040.00	SOLD	
AMERICAN INTERNATIONAL GROUP INC	10	01/23/2001	01/26/2001	843.04		BOUGHT	
AMERICAN INTERNATIONAL GROUP INC	5	04/03/2001	04/06/2001	408.65		BOUGHT	
AMERICAN INTERNATIONAL GROUP INC	35	04/25/2001	04/30/2001	2,749.60		BOUGHT	
AMERICAN INTERNATIONAL GROUP INC	83	08/29/2001	09/04/2001		6,486.45	SOLD	
AVON PRODUCTS INC	10	02/28/2001	03/05/2001	429.42		BOUGHT	
AVON PRODUCTS INC	30	04/25/2001	04/30/2001	1,127.40		BOUGHT	
AVON PRODUCTS INC	55	08/29/2001	09/04/2001		2,546.50	SOLD	
BP PLC SPONSORED AMERN DEP RECEIPT ONE ADR REP 6 ORD SHS	35	06/25/2001	06/28/2001	1,861.89		BOUGHT	
BP PLC SPONSORED AMERN DEP RECEIPT ONE ADR REP 6 ORD SHS	20	07/09/2001	07/12/2001	970.00		BOUGHT	
BP PLC SPONSORED AMERN DEP RECEIPT ONE ADR REP 6 ORD SHS	55	08/29/2001	09/04/2001		2,827.00	SOLD	
BANK ONE CORP	35	04/25/2001	04/30/2001	1,326.85		BOUGHT	
BANK ONE CORP	30	05/15/2001	05/18/2001	1,124.97		BOUGHT	
BANK ONE CORP	70	06/25/2001	06/28/2001		2,489.89	SOLD	
BANK ONE CORP	30	07/10/2001	07/13/2001		1,027.05	SOLD	
BEA SYSTEMS INC	35	06/07/2001	06/12/2001	1,419.83		BOUGHT	
BEA SYSTEMS INC	35	07/13/2001	07/18/2001		889.78	SOLD	
BROADCOM CORP CLASS A	5	03/22/2001	03/27/2001		165.31	SOLD	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
CARDINAL HEALTH INC	45	07/23/2001	07/26/2001	3,224.01		BOUGHT	
CARDINAL HEALTH INC	45	08/29/2001	09/04/2001		3,278.25	SOLD	
CENDANT CP	115	08/07/2001	08/10/2001	2,277.68		BOUGHT	
CENDANT CP	45	08/17/2001	08/22/2001	901.94		BOUGHT	
CENDANT CP	160	08/29/2001	09/04/2001		3,123.20	SOLD	
CISCO SYSTEMS INC	25	03/22/2001	03/27/2001	471.90		BOUGHT	
CISCO SYSTEMS INC	80	04/25/2001	04/30/2001	1,280.00		BOUGHT	
CISCO SYSTEMS INC	25	05/30/2001	06/04/2001		472.00	SOLD	
CISCO SYSTEMS INC	145	08/29/2001	09/04/2001		2,469.35	SOLD	
CITIGROUP INC	10	01/30/2001	02/02/2001		557.50	SOLD	
CITIGROUP INC	5	02/26/2001	03/01/2001		246.50	SOLD	
CITIGROUP INC	10	03/08/2001	03/13/2001		505.75	SOLD	
CITIGROUP INC	15	04/04/2001	04/09/2001	631.50		BOUGHT	
CITIGROUP INC	70	04/25/2001	04/30/2001	3,452.40		BOUGHT	
CITIGROUP INC	168	08/29/2001	09/04/2001		7,795.20	SOLD	
COLGATE PALMOLIVE CO	20	04/25/2001	04/30/2001	1,069.40		BOUGHT	
COLGATE PALMOLIVE CO	40	08/06/2001	08/09/2001		2,114.13	SOLD	
COX COMMUNICATIONS INC NEW CLASS A	45	04/25/2001	04/30/2001	2,001.60		BOUGHT	
COX COMMUNICATIONS INC NEW CLASS A	15	05/03/2001	05/08/2001		662.06	SOLD	
COX COMMUNICATIONS INC NEW CLASS A	25	07/23/2001	07/26/2001		977.04	SOLD	
COX COMMUNICATIONS INC NEW CLASS A	55	08/29/2001	09/04/2001		2,208.25	SOLD	
DANAHER CORP	50	08/09/2001	08/14/2001	2,856.96		BOUGHT	
DANAHER CORP	50	08/29/2001	09/04/2001		2,861.00	SOLD	
DELTA AIR LINES INC	10	04/25/2001	04/30/2001	430.70		BOUGHT	
DELTA AIR LINES INC	25	06/11/2001	06/14/2001		1,094.38	SOLD	
DOW CHEMICAL CO	20	03/30/2001	04/04/2001	630.24		BOUGHT	
DOW CHEMICAL CO AS OF 04/19/01 UNSOLICITED	10	04/20/2001	04/24/2001	354.20		BOUGHT	
DOW CHEMICAL CO	20	04/25/2001	04/30/2001	663.60		BOUGHT	
DOW CHEMICAL CO	45	07/09/2001	07/12/2001	1,552.33		BOUGHT	
DOW CHEMICAL CO	95	08/29/2001	09/04/2001		3,348.75	SOLD	
DYNEGY INC CLASS A	45	04/25/2001	04/30/2001	2,546.55		BOUGHT	
DYNEGY INC CLASS A	45	08/29/2001	09/04/2001		1,986.75	SOLD	

3107

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
E M C CORP MASS	25	03/30/2001	04/04/2001	726.02		BOUGHT	
E M C CORP MASS	28	04/25/2001	04/30/2001	958.50		BOUGHT	
E M C CORP MASS	25	05/15/2001	05/18/2001		990.00	SOLD	
E M C CORP MASS	45	07/23/2001	07/26/2001		818.71	SOLD	
ELECTRONIC DATA SYSTEMS CORP	15	03/15/2001	03/20/2001	871.39		BOUGHT	
ELECTRONIC DATA SYSTEMS CORP	15	04/25/2001	04/30/2001	962.25		BOUGHT	
ELECTRONIC DATA SYSTEMS CORP	30	08/29/2001	09/04/2001		1,827.00	SOLD	
ENRON CORP OREGON	10	02/05/2001	02/08/2001		799.50	SOLD	
ENRON CORP OREGON	10	03/15/2001	03/20/2001	645.47		BOUGHT	
ENRON CORP OREGON	15	04/25/2001	04/30/2001	939.15		BOUGHT	
ENRON CORP OREGON	30	08/17/2001	08/22/2001		1,095.11	SOLD	
EXXON MOBIL CORP	5	02/28/2001	03/05/2001	409.37		BOUGHT	
EXXON MOBIL CORP	45	04/25/2001	04/30/2001	4,041.45		BOUGHT	
EXXON MOBIL CORP	75	08/06/2001	08/09/2001		3,080.77	SOLD	
EXXON MOBIL CORP	115	08/29/2001	09/04/2001		4,684.05	SOLD	
FREDDIE MAC VOTING COM STOCK	25	01/12/2001	01/18/2001	1,577.25		BOUGHT	
FREDDIE MAC VOTING COM STOCK	5	02/09/2001	02/14/2001	322.46		BOUGHT	
FREDDIE MAC VOTING COM STOCK	5	02/15/2001	02/21/2001	331.25		BOUGHT	
FREDDIE MAC VOTING COM STOCK	35	04/25/2001	04/30/2001	2,265.55		BOUGHT	
FREDDIE MAC VOTING COM STOCK	20	05/07/2001	05/10/2001	1,303.38		BOUGHT	
FREDDIE MAC VOTING COM STOCK	90	08/29/2001	09/04/2001		5,713.20	SOLD	
FEDERATED DEPARTMENT STORES INC DEL	10	01/29/2001	02/01/2001		424.55	SOLD	
FEDERATED DEPARTMENT STORES INC DEL	40	04/25/2001	04/30/2001	1,678.80		BOUGHT	
FEDERATED DEPARTMENT STORES INC DEL	80	08/29/2001	09/04/2001		3,015.20	SOLD	
FIRSTAR CORP NEW	10	01/23/2001	01/26/2001		224.72	SOLD	
FORD MOTOR CO NEW	50	04/25/2001	04/30/2001	1,435.00		BOUGHT	
FORD MOTOR CO NEW	45	06/25/2001	06/28/2001		1,125.91	SOLD	
FORD MOTOR CO NEW	57	07/10/2001	07/13/2001		1,411.80	SOLD	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
GAP INC	25	01/23/2001	01/26/2001		722.29	SOLD	
GAP INC	20	04/25/2001	04/30/2001	507.60		BOUGHT	
GAP INC	50	07/23/2001	07/26/2001		1,480.25	SOLD	
GENERAL ELECTRIC CO	10	02/09/2001	02/14/2001	464.50		BOUGHT	
GENERAL ELECTRIC CO	20	03/08/2001	03/13/2001		913.80	SOLD	
GENERAL ELECTRIC CO	90	04/25/2001	04/30/2001	4,343.40		BOUGHT	
GENERAL ELECTRIC CO	35	07/13/2001	07/18/2001		1,636.25	SOLD	
GENERAL ELECTRIC CO	140	08/29/2001	09/04/2001		6,528.00	SOLD	
HOME DEPOT INC	45	04/25/2001	04/30/2001	2,070.90		BOUGHT	
HOME DEPOT INC	20	05/31/2001	06/05/2001		978.00	SOLD	
HOME DEPOT INC	95	08/29/2001	09/04/2001		4,464.05	SOLD	
HONEYWELL INTERNATIONAL INC	15	03/30/2001	04/03/2001		601.98	SOLD	
AS OF 03/29/01 UNSOLICITED							
HONEYWELL INTERNATIONAL INC MERGER	45	04/25/2001	04/30/2001	2,155.50		BOUGHT	
HONEYWELL INTERNATIONAL INC	83	08/09/2001	08/14/2001		2,984.98	SOLD	
HOUSEHOLD INTERNATIONAL INC	30	08/17/2001	08/22/2001	1,999.50		BOUGHT	
HOUSEHOLD INTERNATIONAL INC	30	08/29/2001	09/04/2001		1,825.80	SOLD	
INTEL CORP	75	04/25/2001	04/30/2001	2,194.50		BOUGHT	
INTEL CORP	165	08/29/2001	09/04/2001		4,367.90	SOLD	
INTERNATIONAL BUSINESS MACHINES	10	03/08/2001	03/13/2001	1,058.60		BOUGHT	
INTERNATIONAL BUSINESS MACHINES	5	04/09/2001	04/12/2001	484.76		BOUGHT	
INTERNATIONAL BUSINESS MACHINES	20	04/25/2001	04/30/2001	2,272.45		BOUGHT	
INTERNATIONAL BUSINESS MACHINES	35	08/29/2001	09/04/2001		3,654.35	SOLD	
J P MORGAN CHASE & CO COMMON NEW	10	01/29/2001	02/01/2001		548.50	SOLD	
J P MORGAN CHASE & CO COMMON NEW	35	04/25/2001	04/30/2001	1,643.95		BOUGHT	
J P MORGAN CHASE & CO COMMON NEW	75	08/29/2001	09/04/2001		2,985.00	SOLD	
JOHNSON & JOHNSON	5	05/18/2001	05/23/2001	503.45		BOUGHT	
JOHNSON & JOHNSON	55	07/23/2001	07/26/2001	2,950.16		BOUGHT	
JOHNSON & JOHNSON	30	08/27/2001	08/30/2001	1,638.00		BOUGHT	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
JOHNSON & JOHNSON	95	08/29/2001	09/04/2001		5,052.10	SOLD	
JOHNSON CONTROLS INC	5	01/12/2001	01/18/2001		291.96	SOLD	
JOHNSON CONTROLS INC	5	01/29/2001	02/01/2001		312.84	SOLD	
JOHNSON CONTROLS INC	5	02/15/2001	02/21/2001		321.90	SOLD	
JOHNSON CONTROLS INC	5	03/08/2001	03/13/2001		338.77	SOLD	
JOHNSON CONTROLS INC	35	04/25/2001	04/30/2001	2,561.65		BOUGHT	
JOHNSON CONTROLS INC	10	05/07/2001	05/10/2001		710.80	SOLD	
JOHNSON CONTROLS INC	10	05/31/2001	06/05/2001		694.61	SOLD	
JOHNSON CONTROLS INC	55	08/29/2001	09/04/2001		3,971.00	SOLD	
JUNIPER NETWORKS INC	10	03/22/2001	03/27/2001	532.01		BOUGHT	
JUNIPER NETWORKS INC	10	04/09/2001	04/12/2001	342.30		BOUGHT	
JUNIPER NETWORKS INC	15	04/25/2001	04/30/2001	886.50		BOUGHT	
JUNIPER NETWORKS INC	35	07/16/2001	07/19/2001		938.39	SOLD	
KEYCORP NEW	65	06/25/2001	06/28/2001	1,627.20		BOUGHT	
KEYCORP NEW	40	07/12/2001	07/17/2001	1,039.51		BOUGHT	
KEYCORP NEW	105	08/29/2001	09/04/2001		2,659.65	SOLD	
KOHLS CORP	10	03/26/2001	03/29/2001	604.28		BOUGHT	
KOHLS CORP	10	04/19/2001	04/24/2001	600.89		BOUGHT	
KOHLS CORP	20	04/25/2001	04/30/2001	1,171.40		BOUGHT	
KOHLS CORP	15	06/11/2001	06/14/2001	918.80		BOUGHT	
KOHLS CORP	55	08/29/2001	09/04/2001		3,034.90	SOLD	
KROGER COMPANY	15	02/28/2001	03/05/2001		363.89	SOLD	
KROGER COMPANY	10	03/08/2001	03/13/2001		249.77	SOLD	
KROGER COMPANY	100	04/25/2001	04/30/2001	2,235.00		BOUGHT	
KROGER COMPANY	225	08/29/2001	09/04/2001		5,924.25	SOLD	
MASCO CORP DELAWARE	85	08/07/2001	08/10/2001	2,204.83		BOUGHT	
MASCO CORP DELAWARE	55	08/27/2001	08/30/2001	1,440.71		BOUGHT	
MASCO CORP DELAWARE	140	08/29/2001	09/04/2001		3,567.20	SOLD	
MC GRAW HILL COMPANIES INC	5	02/09/2001	02/14/2001		305.51	SOLD	
MC GRAW HILL COMPANIES INC	5	04/19/2001	04/24/2001		317.29	SOLD	

3110

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
MC GRAW HILL COMPANIES INC	15	04/25/2001	04/30/2001	984.90		BOUGHT	
MC GRAW HILL COMPANIES INC	35	08/29/2001	09/04/2001		2,108.75	SOLD	
MERCK & CO	10	04/09/2001	04/12/2001		770.70	SOLD	
MERCK & CO	20	04/25/2001	04/30/2001	1,492.80		BOUGHT	
MERCK & CO	40	07/23/2001	07/26/2001		2,636.38	SOLD	
MICROSOFT CORP WASHINGTON	10	03/08/2001	03/13/2001	596.57		BOUGHT	
MICROSOFT CORP WASHINGTON	15	03/22/2001	03/27/2001	762.64		BOUGHT	
MICROSOFT CORP WASHINGTON	60	04/25/2001	04/30/2001	4,173.60		BOUGHT	
MICROSOFT CORP WASHINGTON	135	08/29/2001	09/04/2001		8,133.75	SOLD	
MORGAN STANLEY DEAN WITTER & CO	10	04/25/2001	04/30/2001	611.80		BOUGHT	
MORGAN STANLEY DEAN WITTER & CO	30	08/29/2001	09/04/2001		1,616.10	SOLD	
NETWORK APPLIANCE INC	15	04/25/2001	04/30/2001	317.25		BOUGHT	
NETWORK APPLIANCE INC	25	07/13/2001	07/18/2001		285.00	SOLD	
NORTEL NETWORKS CORP HOLDINGS CO	40	03/29/2001	04/03/2001		538.70	SOLD	
NORTEL NETWORKS CORP HOLDINGS CO	30	04/25/2001	04/30/2001	465.60		BOUGHT	
NORTEL NETWORKS CORP HOLDINGS CO	70	05/17/2001	05/22/2001		977.20	SOLD	
ORACLE CORP	30	01/12/2001	01/18/2001		1,008.75	SOLD	
ORACLE CORP	75	04/25/2001	04/30/2001	1,308.00		BOUGHT	
ORACLE CORP	145	08/29/2001	09/04/2001		1,944.45	SOLD	
PMC SIERRA INC	10	03/26/2001	03/29/2001		314.30	SOLD	
PEOPLESOFT INC	50	07/16/2001	07/19/2001	2,063.90		BOUGHT	
PEOPLESOFT INC	25	08/13/2001	08/16/2001	951.98		BOUGHT	
PEOPLESOFT INC	75	08/29/2001	09/04/2001		2,607.00	SOLD	
PEPSICO INC	25	01/29/2001	02/01/2001	1,099.24		BOUGHT	
PEPSICO INC	55	04/25/2001	04/30/2001	2,427.15		BOUGHT	
PEPSICO INC	115	08/29/2001	09/04/2001		5,364.75	SOLD	
PFIZER INC	5	02/28/2001	03/05/2001	226.50		BOUGHT	
PFIZER INC	10	04/02/2001	04/05/2001	396.86		BOUGHT	
PFIZER INC	100	04/25/2001	04/30/2001	4,105.00		BOUGHT	
PFIZER INC	225	08/29/2001	09/04/2001		8,910.00	SOLD	

3111

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
PHARMACIA CORP	10	02/05/2001	02/08/2001	592.15		BOUGHT	
PHARMACIA CORP	15	02/26/2001	03/01/2001	737.93		BOUGHT	
PHARMACIA CORP	65	04/25/2001	04/30/2001	3,194.10		BOUGHT	
PHARMACIA CORP	140	07/23/2001	07/26/2001		6,065.11	SOLD	
PHELPS DODGE CORP	15	03/30/2001	04/04/2001		604.38	SOLD	
PHILIP MORRIS COS INC	10	02/28/2001	03/05/2001		480.37	SOLD	
PHILIP MORRIS COS INC	5	03/15/2001	03/20/2001		236.35	SOLD	
PHILIP MORRIS COS INC	15	04/09/2001	04/12/2001		703.27	SOLD	
PHILIP MORRIS COS INC	45	04/25/2001	04/30/2001	2,274.30		BOUGHT	
PHILIP MORRIS COS INC	95	08/29/2001	09/04/2001		4,507.75	SOLD	
PROVIDIAN FINANCIAL CORP	10	03/08/2001	03/13/2001		526.08	SOLD	
PROVIDIAN FINANCIAL CORP	15	03/22/2001	03/27/2001		603.75	SOLD	
PROVIDIAN FINANCIAL CORP	65	04/25/2001	04/30/2001	3,259.10		BOUGHT	
PROVIDIAN FINANCIAL CORP	75	08/17/2001	08/22/2001		3,403.69	SOLD	
PROVIDIAN FINANCIAL CORP	55	08/27/2001	08/30/2001		2,274.25	SOLD	
SBC COMMUNICATIONS INC	75	04/25/2001	04/30/2001	3,072.75		BOUGHT	
SBC COMMUNICATIONS INC	110	08/27/2001	08/30/2001		4,642.78	SOLD	
SBC COMMUNICATIONS INC	51	08/29/2001	09/04/2001		2,092.02	SOLD	
SCHERING PLOUGH CORP	15	02/28/2001	03/05/2001		618.47	SOLD	
SCHERING PLOUGH CORP	30	04/25/2001	04/30/2001	1,107.90		BOUGHT	
SCHERING PLOUGH CORP	35	05/15/2001	05/18/2001		1,300.25	SOLD	
SCHERING PLOUGH CORP	30	07/05/2001	07/10/2001		1,087.94	SOLD	
SCHLUMBERGER LIMITED	10	04/25/2001	04/30/2001	629.70		BOUGHT	
SCHLUMBERGER LIMITED	15	07/09/2001	07/12/2001		775.50	SOLD	
SOLECTRON CORP DELAWARE	5	01/30/2001	02/02/2001		197.50	SOLD	
SOLECTRON CORP DELAWARE	30	02/26/2001	03/01/2001		900.46	SOLD	
SOLECTRON CORP DELAWARE	15	03/08/2001	03/13/2001		421.12	SOLD	
SOLECTRON CORP DELAWARE	20	03/15/2001	03/20/2001		455.00	SOLD	
SOLECTRON CORP DELAWARE	25	03/22/2001	03/27/2001		471.40	SOLD	
SOLECTRON CORP DELAWARE	20	04/25/2001	04/30/2001	496.00		BOUGHT	

3112

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
SOLECTRON CORP DELAWARE	55	07/13/2001	07/18/2001		867.67	SOLD	
SPRINT CORP PCS GROUP INC	130	08/14/2001	08/17/2001	3,229.71		BOUGHT	
SPRINT CORP PCS GROUP INC	130	08/29/2001	09/04/2001		3,250.00	SOLD	
STAPLES INC RETAIL & DELIVERY	50	04/25/2001	04/30/2001	794.00		BOUGHT	
STAPLES INC RETAIL & DELIVERY	105	08/27/2001	08/30/2001		1,605.93	SOLD	
SUN MICROSYSTEMS INC	65	03/30/2001	04/04/2001	962.38		BOUGHT	
SUN MICROSYSTEMS INC	35	04/25/2001	04/30/2001	565.04		BOUGHT	
SUN MICROSYSTEMS INC	120	06/06/2001	06/11/2001		2,162.58	SOLD	
TXU CORP	10	01/23/2001	01/26/2001	379.64		BOUGHT	
TXU CORP	35	04/25/2001	04/30/2001	1,506.75		BOUGHT	
TXU CORP	5	05/15/2001	05/18/2001	225.29		BOUGHT	
TXU CORP	85	08/29/2001	09/04/2001		4,102.95	SOLD	
TARGET CORP	30	04/19/2001	04/24/2001		1,130.52	SOLD	
TARGET CORP	35	04/25/2001	04/30/2001	1,277.50		BOUGHT	
TARGET CORP	35	06/11/2001	06/14/2001		1,284.50	SOLD	
TARGET CORP	45	07/23/2001	07/26/2001	1,667.21		BOUGHT	
TARGET CORP	55	08/07/2001	08/10/2001	2,124.60		BOUGHT	
TARGET CORP	135	08/29/2001	09/04/2001		4,753.35	SOLD	
TENET HEALTHCARE CORP	50	04/25/2001	04/30/2001	2,207.50		BOUGHT	
TENET HEALTHCARE CORP	95	08/29/2001	09/04/2001		5,322.85	SOLD	
TEXACO INC	25	04/25/2001	04/30/2001	1,796.25		BOUGHT	
TEXACO INC	60	08/29/2001	09/04/2001		4,221.00	SOLD	
TEXAS INSTRUMENTS INC	15	04/25/2001	04/30/2001	534.30		BOUGHT	
TEXAS INSTRUMENTS INC	35	08/29/2001	09/04/2001		1,185.80	SOLD	
TYCO INTERNATIONAL LTD NEW	10	02/26/2001	03/01/2001	553.76		BOUGHT	
TYCO INTERNATIONAL LTD NEW	65	04/25/2001	04/30/2001	3,398.85		BOUGHT	
TYCO INTERNATIONAL LTD NEW	135	08/29/2001	09/04/2001		7,106.40	SOLD	
US BANCORP DELAWARE NEW	85	04/25/2001	04/30/2001	1,803.70		BOUGHT	

Trading Activity (CONTINUED)

DESCRIPTION	QUANTITY	TRADE DATE	SETTLEMENT DATE	NET COST	NET PROCEEDS	EXPLANATION	ACCRUED INTEREST
US BANCORP DELAWARE NEW	195	08/29/2001	09/04/2001		4,703.40	SOLD	
UNION PACIFIC CORP	25	06/11/2001	06/14/2001	1,399.95		BOUGHT	
UNION PACIFIC CORP	15	07/23/2001	07/26/2001	848.00		BOUGHT	
UNION PACIFIC CORP	40	08/29/2001	09/04/2001		2,108.00	SOLD	
UNITED TECHNOLOGIES CORP	10	04/09/2001	04/12/2001		750.12	SOLD	
UNITED TECHNOLOGIES CORP	30	04/25/2001	04/30/2001	2,283.60		BOUGHT	
UNITED TECHNOLOGIES CORP	10	05/07/2001	05/10/2001		780.78	SOLD	
UNITED TECHNOLOGIES CORP	15	06/11/2001	06/14/2001		1,208.27	SOLD	
UNITED TECHNOLOGIES CORP	45	07/18/2001	07/23/2001	3,386.15		BOUGHT	
UNITED TECHNOLOGIES CORP	80	08/29/2001	09/04/2001		5,516.80	SOLD	
UNITEDHEALTH GROUP INC	5	04/19/2001	04/24/2001		301.63	SOLD	
UNITEDHEALTH GROUP INC	20	04/25/2001	04/30/2001	1,264.20		BOUGHT	
UNITEDHEALTH GROUP INC	10	05/03/2001	05/08/2001		615.44	SOLD	
UNITEDHEALTH GROUP INC	35	08/29/2001	09/04/2001		2,425.85	SOLD	
VERITAS SOFTWARE CORP	5	04/09/2001	04/12/2001	227.92		BOUGHT	
VERITAS SOFTWARE CORP	35	04/25/2001	04/30/2001	2,079.32		BOUGHT	
VERITAS SOFTWARE CORP	20	07/13/2001	07/18/2001		1,054.99	SOLD	
VERITAS SOFTWARE CORP	55	08/13/2001	08/16/2001		2,108.42	SOLD	
VITESSE SEMICONDUCTOR CORP	25	03/26/2001	03/29/2001		857.48	SOLD	
WATSON PHARMACEUTIAL INC AO 07/23 UNSOLICITED	26	07/26/2001	07/26/2001	1,599.96		BOUGHT	
WATSON PHARMACEUTIAL INC	19	07/24/2001	07/27/2001	1,155.16		BOUGHT	
WATSON PHARMACEUTIAL INC	5	08/27/2001	08/30/2001	293.42		BOUGHT	
WATSON PHARMACEUTIAL INC	50	08/29/2001	09/04/2001		2,892.50	SOLD	
WELLS FARGO AND CO NEW	25	01/30/2001	02/02/2001	1,271.92		BOUGHT	
WELLS FARGO AND CO NEW	5	02/26/2001	03/01/2001		241.84	SOLD	
WELLS FARGO AND CO NEW	45	04/25/2001	04/30/2001	2,131.65		BOUGHT	
WELLS FARGO AND CO NEW	100	08/29/2001	09/04/2001		4,584.00	SOLD	

3114

Redemptions, Exchanges & Other Activity

DESCRIPTION	QUANTITY	RECEIVED/ CHARGED	DELIVERED/ CREDITED	AMOUNT CHARGED	AMOUNT CREDITED	EXPLANATION
EXXON MOBIL CORP STOCK SPLIT	95	07/24				STOCK DIV
FIRSTAR CORP EXM	110		02/28			EXCHANGED
JOHNSON & JOHNSON STOCK SPLIT	5	06/18				STOCK DIV
FUNDS RECEIVED IN LIEU OF FRACT SHARE MCDATA CORP			02/13		20.48	FRACT SHR
US BANCORP NEW	110	02/28				EXCHANGED
Total Redemptions, Exchanges & Other Activity					$20.48	

31,09399

3115

Name Carolyn McCarthy

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Home Depot	Revolving Credit		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name Carolyn McCarthy | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	North Carolinians Against Gun Violence	Mar.2-5	Washington, D.C.,- Charlotte - Wash,D.C.	N	N	N	N

This page may be copied if more space is required.

Name	Carolyn McCarthy	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	New Yorkers Against Gun Violence
Board Member	The Lab School of Washington

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(3)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:52
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Karen McCarthy
(Full Name)
1330 Longworth House Office Building 202-225-4535
(Mailing Address) Daytime Telephone
Washington, D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: MO District: 05	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Karen McCarthy	May 15, 2002

3119

Name Karen McCarthy | Page 2 of 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS / LOSS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp Stock	X	X	X	P
	Simon & Schuster	Indefinite	Royalties		
	1st Bank of Paducah, KY accounts	X	X	X	
	Fund, Money Marker Inrrust, St. Louis, MO	X	X	N O N E	
	IRA/Waddell Reed KCMO	X	N/A	N/A	
	Country Club Bank KCMO	X	X		
	State of MO Retirement System, Jefferson City, MO	X	N/A	N/A	
	State of MO Preferred Comp Plan, Jefferson City, MO	X	N/A	N/A	

For additional assets and unearned income, use next page.

Name	Karen McCarthy	Page 3 of 3

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C —Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles —Cleveland	Y	Y	Y	2 Days
Aspen Institute: US Policy Toward Cuba	Jan. 12-17	KC--Philadelphia--Grand Cayman--Grand Cayman--Charlotte--KC	Y	Y	N	N
Aspen Institute: Convergence of U.S. National Security & the Global Environment	May 29-June 3	KC--Pittsburgh--Paris--Florence--Paris--Pittsburgh--KC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

Betty L. McCollum
(Full Name)

1029 Longworth HOB
WASHINGTON, DC 20515
(Mailing Address)

202-225-6631
Daytime Telephone

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:33
OFFICE OF THE CLERK
(Office Use Only)

4

HC

Filer Status	[X] Member of the U.S. House of Representatives	State: MN District: 04	[ ] Officer or Employee	Employing Office:	
Report Type	[X] Annual (May 15)	[ ] Amendment		[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Betty McCollum	05/14/02

3122

Name Hon. Betty McCollum | Page 2 of 4

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500

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Name Hon. Betty McCollum | Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source		Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP		SP	Mega Corp. Stock	DIVIDENDS X	VIII $50,001 – $100,000	P
DC	*Examples:*		Indefinite	Other Type of Income: Royalties	IX $100,001 – $1,000,000	
JT			1st Bank of Paducah, KY accounts	INTEREST X	VI $5,001 – $15,000	
	MSSK Retirement Fund		D $15,001 – $50,000	DIVIDENDS X	III $201 – $1,000	
	State of MN - Deferred Comp.		C $1,001 – $15,000	DIVIDENDS X	II $1 – $200	

For additional assets and unearned income, use next page.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—~~Destination~~—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Commonwealth Fund	1/11-19/2001	WASH, DC - Florida - WASH, DC	Y	Y	N	N
	SIERRA CLUB	6/30-7/5	Mpls, MN - Arctic Refuge - Mpls Alaska	Y	Y	N	N

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BETTY McCOLLUM
4TH DISTRICT, MINNESOTA

1029 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-6631
FAX: (202) 225-1968

165 WESTERN AVENUE NORTH
SUITE 17
ST. PAUL, MN 55102
(651) 224-9191
FAX: (651) 224-3056

UNITED STATES
HOUSE OF REPRESENTATIVES

COMMITTEE ON
EDUCATION AND THE WORKFORC

COMMITTEE ON RESOURCES

www.house.gov/mccollum

June 11, 2002

Clerk of the House of Representatives
B-106 Cannon HOB
Washington, D.C. 20515

MC

This letter is to file an amendment with the Clerk's office for my Financial Disclosure Statement.

Please amend my Financial Disclosure Statement for calendar year 2001 to reflect "no" in regards to the question, "Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?"

There was an organization that offered to contribute an honorarium to the charity of my choice for participating in their event. However, upon further investigation for this disclosure, I discovered from the charity that a contribution was never made from that organization.

Please have this change be reflected in the public release of my Financial Disclosure Statement. Thank you for your time and attention to this request.

Sincerely,

Betty McCollum

Betty McCollum
Member of Congress

BMcC: szs

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HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

James Otis McCrery, III
(Full Name)

2104 Raybum HOB Washington, DC 20515
(Mailing Address)

202-225-2777
Daytime Telephone

Filer Status: ☑ Member of the U.S. House of Representatives — State: LA District: 04 ☐ Officer Or Employee — Employing Office

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J. McCrery	5/14/02

3127

SCHEDULE I - EARNED INCOME

Name James Otis McCrery, III

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Bossier Parish Community College	Spouse Salary	N/A
Louisiana State University Shreveport	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Otis McCrery, III

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
IRA, AmSouth (Commercial National Bank), Shreveport, Louisiana	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	N/A
Land, Rapides Parish, Louisiana (An undivided 1/6 interest in approximately 62 acres.)	$1,001 - $15,000	OIL & GAS ROYALTIES	$201 - $1,000	N/A
Land, Vernon Parish, Louisiana (An undivided 1/2 interest in approximately 36 acres including residence and 12 unit apartment complex.)	$100,001 - $250,000	N/A	NONE	N/A
Land, Desoto Parish, Louisiana (An undivided interest in approximately 160 acres)	$1 - $1,000	N/A	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Otis McCrery, III

	Fidelity Advisor Equity Growth Mutual Fund, AmSouth (Commercial National Bank), Shreveport, Louisiana	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	N/A
	Fidelity Advisor Equity Income	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	N/A
	American Europacific Growth	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	N/A
	Putnam International Growth	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	N/A
	ASO Prime Money Market	$15,001 - $50,000	INTEREST	$201 - $1,000	P
	Fidelity Advisor 529	$15,001 - $50,000	CAPITAL GAINS	$1,001 - $2,500	P

SCHEDULE IV - TRANSACTIONS

Name James Otis McCrery, III

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	ASO Prime Money Market	P	8-21-01	$15,001 - $50,000
	Fidelity Advisor 529	P	9-20-01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name James Otis McCrery, III

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Commonwealth Fund	Jan.10-Jan.13	Shreveport, LA-Ft. Lauderdale-Shreveport, LA	Y	Y	N	NA
Nuclear Energy Institute	Jun.30-July 6	Shreveport,LA-Marseilles,France-Shreveport, LA	Y	Y	Y	NA
Heritage Foundation	Aug.7-Aug10	Shreveport,LA-Colorado Springs,CO-Shreveport,LA	Y	Y	Y	NA

(37)

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CLERK
U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

James A. McDermott
(Full Name)

1820 9th Avenue West Seattle, WA 98119
(Mailing Address)

202-225-3106
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representative	State: WA District: 07	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑		Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	James A. McDermott	5-15-02

3133

SCHEDULE I - EARNED INCOME

Name James A. McDermott

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Soha & Lang, Attorneys at Law	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James A. McDermott

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Soha & Lang P.S. 401(k) Retirement Plan (91-1742107)	$50,001 - $100,000	INTEREST	N/A	
SP	Janus Twenty Fund (203235484)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	SSB Account (443-07421-16)(See pg. 3a)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	SSB IRA Custodian (443-67927-19)(See pg. 3b-3c)	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	State of Washington Retirement Account	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Carlyle Real Estate L.P. XIII	$1,001 - $15,000	INTEREST	$1,001 - $2,500	

SALOMON SMITH BARNEY

A member of citigroup

Ref: 00038247 00295068

Client Statement
2001 Year End Summary

3a

THERESE M HANSEN

Account Number 443-07421-16 456 SS # 475-70-4495

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is not provided to the IRS.

Value of your portfolio

Description	Amount
Combined account balance	$ .21
Money funds	470.65
Common stocks & options	12,583.06
Value of your account on 12/31/01	**$ 13,053.92**
Value of your account on 12/31/00	**$ 19,858.84**

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Dividends **	$ 73.91		$ 73.91
Totals	**$ 73.91**		**$ 73.91**

***Includes money funds earnings and capital gain distributions.*

2001 YEAR END SUMMARY

3136

SALOMON SMITH BARNEY

A member of citigroup

Ref: 00038255 00295124

Individual Retirement Account
2001 Year End Summary

3b

Account Number 443-67027-19 456 **SS #** 475-70-4495

Portfolio Value

This represents the Fair Market Value of your account as of December 31, 2001. Please note that any unpriced securities reflected on your monthly statement are not included in the Fair Market Value.

Reference Number	STATEMENT VALUE AS OF 12/31/01	Total Value
	MONEY FUNDS	$ 1,879.16
	COMMON STOCKS & OPTIONS	55,496.45
	Sub-total	$ 57,375.61

Total Value as of 12/31/01 ***This information is being provided to the IRS to satisfy government reporting regulations.*** **$ 57,375.61**

2001 YEAR END SUMMARY

3137

SALOMON SMITH BARNEY

A member of citigroup

Ref: 00035255 00285125

Individual Retirement Account
2001 Year End Summary

3c

THERESE M HANSEN

Account Number 443-67927-19 456 SS # 475-70-4495

Summary of 2001 Activity

Deposits summary

Description	Amount
2000 Contributions	$ 0.00
2001 Contributions	2,000.00
Transfer In	0.00
Rollover Contributions	0.00
Total	**$ 2,000.00**

Withdrawals summary

Description		Amount
Taxes Withheld	$ 0.00	
Reportable Amount	0.00	
Total Reportable Amount		**0.00**
Transfers	0.00	
Expenses Charged	0.00	
Other Transactions	0.00	
Total Non Reportable Amount		**0.00**
Total		**$ 0.00**

Earnings summary 2001

With year-end adjustments, these figures may not be the same as earnings totals reported on your December statement.

Description	Amount
Dividends **	$ 374.24
Total	**$ 374.24**

***Includes money funds earnings and capital gains distributions.*

2001 YEAR END SUMMARY

3138

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James A. McDermott

	State of Washington Deferred Compensation Program	$15,001 - $50,000	INTEREST	$201 - $1,000	
JT	SSB Account (443-07369-10)(See pg. 4a)	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	SSB IRA Custodian (443-65137-19) (See pg. 4b-4c)	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
	Fidelity Bankers Life Annuity	$1,001 - $15,000	INTEREST	$201 - $1,000	
	TIAA/CREF Annuity	$50,001 - $100,000	INTEREST	$201 - $1,000	

SALOMON SMITH BARNEY

A member of citigroup

Ref: 00038248 00285069

Preferred Client Statement
2001 Year End Summary

4a

JAMES A MCDERMOTT AND

Account Number 443-07369-10 458 SS # 358-28-7705

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is not provided to the IRS.

Value of your portfolio

Description	Amount
Combined account balance	$ .42
Money funds	1,525.40
Common stocks & options	14,642.81
Value of your account on 12/31/01	$ 16,168.63
Value of your account on 12/31/00	$ 24,884.12

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Dividends **	$ 90.35		$ 90.35
Totals	$ 90.35		$ 90.35

***Includes money funds earnings and capital gain distributions.*

2001 YEAR END SUMMARY

3140

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00012501 00094874

Preferred Client
Individual Retirement Account
2001 Year End Summary 4b

Account Number 443-05137-19 458 SS # 358-28-7705

Portfolio Value

This represents the Fair Market Value of your account as of December 31, 2001. Please note that any unpriced securities reflected on your monthly statement are not included in the Fair Market Value.

Reference Number	STATEMENT VALUE AS OF 12/31/01	Total Value
	MONEY FUNDS	$ 69,730.08
	COMMON STOCKS & OPTIONS	155,445.24
	Sub-total	$ 225,175.32

Total Value as of 12/31/01 ***This information is being provided to the IRS to satisfy government reporting regulations.*** **$ 225,175.32**

2001 YEAR END SUMMARY

3141

SALOMON SMITH BARNEY

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Ref: 00012501 00094875

Preferred Client
Individual Retirement Account
2001 Year End Summary

4c

JAMES A MCDERMOTT

Account Number 443-65137-19 456 SS # 358-28-7705

Summary of 2001 Activity

Deposits summary

Description	Amount
2000 Contributions	$ 2,000.00
2001 Contributions	0.00
Transfer In	38,562.35
Rollover Contributions	0.00
Total	$ 40,562.35

Withdrawals summary

Description		Amount
Taxes Withheld	$ 0.00	
Reportable Amount	0.00	
Total Reportable Amount		0.00
Transfers	0.00	
Expenses Charged	0.00	
Other Transactions	0.00	
Total Non Reportable Amount		0.00
Total		$ 0.00

Earnings summary 2001

With year-end adjustments, these figures may not be the same as earnings totals reported on your December statement.

Description	Amount
Dividends **	$ 2,515.29
Total	$ 2,515.29

***Includes money funds earnings and capital gains distributions.*

2001 YEAR END SUMMARY

3142

SCHEDULE IV - TRANSACTIONS

Name James A. McDermott

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Janus Twenty Fund (203235484)(See pg. 5a-5c)	P	1/1/01-12/31/01	$1,001 - $15,000
SP	SSB Account (443-07421-16) (See pg. 5d-5f)	P	1/1/01-12/31/01	$1,001 - $15,000
SP	SSB IRA Custodian (443-67927) (See pg. 5g-5h)	P	1/1/01-12/31/01	$1,001 - $15,000
	SSB IRA Custodian (443-65137) (See pg. 5i-5k)	P	1/1/01-12/31/01	$50,001 - $100,000
JT	SSB Account (443-07369-10) (See pg. 5l-5n)	P	1/1/01-12/31/01	$1,001 - $15,000
SP	SSB Account (443-07421-16) (See pg. 5o)	S	1/1/01-12/31/01	$1,001 - $15,000
SP	SSB IRA Custodian (443-67927) (See pg. 5p-5r)	S	1/1/01-12/31/01	$15,001 - $50,000
	SSB IRA Custodian (443-65137) (See pg. 5s-5u)	S	1/1/01-12/31/01	$50,001 - $100,000
JT	SSB Account (443-07369-10) (See pg. 5v-5w)	S	1/1/01-12/31/01	$1,001 - $15,000

JANUS

5a

Personal Investment Report

January 1, 2001 - December 31, 2001

FUND SUMMARY

	Beginning Balance 1/1/2001	Additions	Withdrawals	Change in Investment Value	Current Balance 12/31/2001	PERSONALIZED RETURNS Your Year-to-Date Total Return	Your Average Annual Return
NONRETIREMENT							
THERESE HANSEN							
Account # 203235484							
43-Janus Twenty Fund	$4,145.95	$1,400.00	$0.00	-$1,448.50	$4,097.45	-33.63%	-23.11%
48-Janus Mercury Fund	$2,183.68	$1,400.00	$0.00	-$914.20	$2,669.48	-28.55%	-29.79%
41-Janus Worldwide Fund	$1,364.36	$700.00	$0.00	-$411.29	$1,653.07	-22.02%	-22.44%
Account Total	$7,693.99	$3,500.00	$0.00	-$2,773.99	$8,420.00	-30.07%	-24.95%
NONRETIREMENT TOTAL	**$7,693.99**	**$3,500.00**	**$0.00**	**-$2,773.99**	**$8,420.00**	**-30.07%**	**-24.95%**

TRANSACTION DETAIL

	Transaction Date	Transaction Description	Number of Shares X	Price / Share =	Dollar Amount	Share Balance
NONRETIREMENT						
THERESE HANSEN						
Account # 203235484						
43-Janus Twenty Fund	1/1/2001	Beginning Balance	75.656	$54.80	$4,145.95	75.656
	1/22/2001	Automatic Purchase -ACH	3.409	$58.66	$200.00	79.065
	2/20/2001	Automatic Purchase -ACH	4.142	$48.29	$200.00	83.207
	3/20/2001	Automatic Purchase -ACH	4.772	$41.91	$200.00	87.979
	4/20/2001	Automatic Purchase -ACH	4.252	$47.04	$200.00	92.231
	5/21/2001	Automatic Purchase -ACH	3.996	$50.05	$200.00	96.227
	6/20/2001	Automatic Purchase -ACH	4.513	$44.32	$200.00	100.740
	7/20/2001	Automatic Purchase -ACH	4.871	$41.06	$200.00	105.611
	12/14/2001	Income Reinvest 0.33541376	0.927	$38.19	$35.42	106.538
	12/31/2001	**Ending Balance**	**106.538**	**$38.46**	**$4,097.45**	**106.538**

Important definitions and information are included on the reverse side.

Past performance is no guarantee of future results. Please retain this statement for your records.
Janus Distributors, Inc. is a Distributor for the Funds and acts as Agent for Fund purchases.

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JANUS

5b

Personal Investment Report

January 1, 2001 - December 31, 2001

TRANSACTION DETAIL

	Transaction Date	Transaction Description	Number of Shares X	Price / Share =	Dollar Amount	Share Balance
48-Janus Mercury Fund	1/1/2001	Beginning Balance	73.599	$29.67	$2,183.68	73.599
	1/22/2001	Automatic Purchase -ACH	6.404	$31.23	$200.00	80.003
	2/20/2001	Automatic Purchase -ACH	7.435	$26.90	$200.00	87.438
	3/20/2001	Automatic Purchase -ACH	8.565	$23.35	$200.00	96.003
	4/20/2001	Automatic Purchase -ACH	7.680	$26.04	$200.00	103.683
	5/21/2001	Automatic Purchase -ACH	7.315	$27.34	$200.00	110.998
	6/20/2001	Automatic Purchase -ACH	8.344	$23.97	$200.00	119.342
	7/20/2001	Automatic Purchase -ACH	8.783	$22.77	$200.00	128.125
	12/14/2001	Income Reinvest 0.04405255	0.277	$20.37	$5.64	128.402
	12/31/2001	**Ending Balance**	**128.402**	**$20.79**	**$2,669.48**	**128.402**
41-Janus Worldwide Fund	1/1/2001	Beginning Balance	23.995	$56.86	$1,364.36	23.995
	1/22/2001	Automatic Purchase -ACH	1.678	$59.59	$100.00	25.673
	2/20/2001	Automatic Purchase -ACH	1.870	$53.48	$100.00	27.543
	3/20/2001	Automatic Purchase -ACH	2.118	$47.21	$100.00	29.661
	4/20/2001	Automatic Purchase -ACH	1.965	$50.88	$100.00	31.626
	5/21/2001	Automatic Purchase -ACH	1.853	$53.97	$100.00	33.479
	6/20/2001	Automatic Purchase -ACH	2.046	$48.88	$100.00	35.525
	7/20/2001	Automatic Purchase -ACH	2.171	$46.06	$100.00	37.696
	12/14/2001	Foreign Tax Paid	0.000	$0.00	$1.76	37.696
	12/14/2001	Income Reinvest 0.01218668	0.011	$42.07	$0.46	37.707
	12/31/2001	**Ending Balance**	**37.707**	**$43.84**	**$1,653.07**	**37.707**

Important definitions and information are included on the reverse side.

Past performance is no guarantee of future results. Please retain this statement for your records.
Janus Distributors, Inc. is a Distributor for the Funds and acts as Agent for Fund purchases.

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JANUS

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Personal Investment Report

January 1, 2001 - December 31, 2001

0029265 AT 0.499 **AUTO 76 0 0103 98119-2946 53-61 06-06-001
#BWNCTMQ
#0024 0177 33#
THERESE HANSEN
1820 9TH AVE W
SEATTLE WA 98119-2946

The Janus Worldwide Fund and the Janus Overseas Fund have elected to pass through to investors foreign taxes paid by the funds. Details will accompany your Year-End Tax information

PERSONALIZED PORTFOLIO SUMMARY* as of 12/31/2001

Your Current Balance	Your Year-to-Date Total Return	Your Average Annual Return
$8,420.00	-30.07%	-24.95%

* portfolio includes the current accounts beginning on page 2 of this statement

Save time and paper –
Get your next statement online.
Sign up at www.janus.com, under the *My Janus Account* tab.

* This portfolio summary box compares your portfolio balance to the net amount you've invested over time. It begins with your initial investment date or 1/1/92, whichever is later, and ends with the statement's reporting date

Important definitions and information are included on the reverse side.

Past performance is no guarantee of future results. Please retain this statement for your records. Janus Distributors, Inc. is a Distributor for the Funds and acts as Agent for Fund purchases.

NONRETIREMENT / RETIREMENT SUMMARY

	Your Current Balance	Your Year-to-Date Total Return	Your Average Annual Return
Nonretirement	$8,420.00	-30.07%	-24.95%
Retirement	$0.00	0.00%	0.00%

See Page 2 for additional account and fund level detail.

** INCOME SUMMARY Dividends/Capital Gains

Dividends	$41.52
Tax-Exempt Dividends	$0.00
Capital Gains	$0.00
Total	**$41.52**

** Please do not use your Personal Investment Report to prepare your tax return. Janus Tax Forms will be mailed on or before January 31, 2002.

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3146

SALOMON SMITH BARNEY
A member of citigroup

01092002A
Ref: 00001351 00011242

Quarterly Review

Fourth Quarter 2001

HANSEN THERESE M
443-07421-16 456
THE DONNELLY GROUP

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Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Equities and Related Investments									
Common Stocks									
Conglomerates									
15	GENERAL ELECTRIC CO	√3/13/2001	$ 42.367	$ 635.51	$ 40.08	$ 601.20	4.60%	$ 11	1.80%
Consumer Cyclicals									
13	COSTCO WHOLESALE CORP NEW	√12/04/2001	40.662	528.61	44.38	576.94	4.41		
20	HOME DEPOT INC	8/29/2000	50.100	1,002.01	51.01	1,020.20	7.81	4	.39
30	STARBUCKS CORP	√4/27/2001	18.750	562.50	19.05	571.50	4.37		
Total Consumer Cyclicals				**$ 2,093.12**		**$ 2,168.64**	**16.61%**	**$ 4**	**.18%**
Health Care									
10	AMGEN INC	7/27/2000	69.969	699.70	56.44	564.40	4.32		
20	MEDTRONIC INC	5/12/2000	53.937	1,078.75	51.21	1,024.20	7.84	5	.45
5	PFIZER INC	√3/26/2001	38.302	191.51	39.85	199.25	1.52	3	1.30
10	PFIZER INC	√4/18/2001	41.000	410.00	39.85	398.50	3.05	5	1.30
15	** Security Total			$ 601.51		$ 597.75	4.57%	$ 8	1.30%
Total Health Care				**$ 2,379.96**		**$ 2,186.35**	**16.74%**	**$ 12**	**.67%**
Energy									
10	APACHE CORP	√11/30/2001	45.942	459.42	49.88	498.80	3.82	8	1.59
5	COOPER CAMERON CORP	√8/20/2001	47.058	235.29	40.36	201.80	1.54		
7	COOPER CAMERON CORP	√12/04/2001	37.054	259.38	40.36	282.52	2.16		
12	** Security Total			$ 494.67		$ 484.32	3.71%		
10	SMITH INTERNATIONAL INC DE	√12/03/2001	45.500	455.00	53.62	536.20	4.10		
Total Energy				**$ 1,409.09**		**$ 1,519.32**	**11.63%**	**$ 8**	**.52%**
Financials									
5	AMER INTERNATIONAL GROUP INC	√ 4/10/2001	77.000	385.00	79.40	397.00	3.04	1	.21
8	GOLDEN STATE BANCORP INC	√10/12/2001	26.992	215.94	26.15	209.20	1.60	3	1.53

3147

SALOMON SMITH BARNEY
A member of citigroup

01/08/2002A
Ref# 00001351 00011243

Quarterly Review

Fourth Quarter 2001

HANSEN THERESE M
443-07421-16 456
THE DONNELLY GROUP

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Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Common Stocks									
5	WASHINGTON MUTUAL INC	✓11/05/2001	$ 30.500	$ 152.50	$ 32.70	$ 163.50	1.25%	$ 6	2.94%
10	WASHINGTON MUTUAL INC	✓11/30/2001	31.240	312.40	32.70	327.00	2.50	10	2.94
15	** Security Total			$ 464.90		$ 490.50	3.75%	$ 14	2.94%
Total Financials				$ 1,065.84		$ 1,096.70	8.40%	$ 18	1.68%
Technology									
5	*** CHECK POINT SOFTWARE TEC LTD	✓5/16/2001	52.952	264.76	39.89	199.45	1.52		
5	*** CHECK POINT SOFTWARE TEC LTD	✓5/25/2001	61.256	306.28	39.89	199.45	1.52		
10	** Security Total			$ 571.04		$ 398.90	3.05%		
5	APPLIED MATERIALS INC DELAWA	✓8/30/2001	43.450	217.25	40.10	200.50	1.53		
5	APPLIED MATERIALS INC DELAWA	✓9/17/2001	36.530	182.65	40.10	200.50	1.53		
10	** Security Total			$ 399.90		$ 401.00	3.07%		
20	INTEL CORP	5/12/2000	58.094	1,161.88	31.45	629.00	4.81	2	.25
5	INTL BUSINESS MACHINES CORP	5/12/2000	104.125	520.63	120.96	604.80	4.63	3	.46
15	MICROSOFT CORP	5/12/2000	69.062	1,035.94	66.25	993.75	7.61		
Total Technology				$ 3,689.39		$ 3,027.45	23.19%	$ 4	.15%
Telecommunications									
90	CISCO SYS INC	1/19/2000	56.723	5,105.08	18.11	1,629.90	12.48		
7	QUALCOMM INC	5/12/2000	99.563	696.94	50.50	353.50	2.70		
Total Telecommunications				$ 5,802.02		$ 1,983.40	15.19%		
Total Common Stocks				$ 17,074.92		$ 12,583.06	96.39%	$ 58	.46%
Total Equities and Related Investments				$ 17,074.92		$ 12,583.06	96.39%	$ 58	.46%
Cash and Short Term Investments									

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Money Market Funds - Taxable									
470.65	SB MONEY FUNDS CASH PORT CL		$ 1.000	$ 470.65	$ 1.00	$ 470.65	3.60%	$ 7	1.66%
Principal Cash									
.21	CASH BALANCE			.21		.21	0.00		
Total Cash and Short Term Investments				$ 470.86		$ 470.86	3.60%	$ 7	1.66%
Total Portfolio				$ 17,546.78		$ 13,053.92	100.00%	$ 65	.50%

Glossary of Market Indices

Consumer Price Index

A measure of the average change in prices over time in a fixed market basket of goods and services. The index is for all U.S. urban consumers, which covers approximately 80% of the noninstitutionalized civilian population.

Merrill Lynch 1-3 Yr Treasury Index

A subindex of the Merrill Lynch Treasury Master Index. Includes issues in the form of publicly placed, coupon-bearing US Treasury debt. Issues must carry a term to maturity of at least one year.

NASDAQ OTC Composite Index

Covers 4,500 stocks traded over the counter. It represents many small company stocks but is heavily influenced by about 100 of the largest NASQ stocks. It is a value weighted index calculated on price change only and does not include income

Standard & Poor's 500 Principal Idx

Tracks the return of 500 of the largest stocks (400 industrial, 40 utility, 20 transportation and 40 financial companies) in the United States, which represent about 78% of the New York Stock Exchange's total market capitalization. The return of each stock is weighted on the basis of the stock's capitalization. This index does not include income.

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Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Equities and Related Investments									
Common Stocks									
Conglomerates									
60	GENERAL ELECTRIC CO	✓3/13/2001	$ 42.367	$ 2,542.04	$ 40.08	$ 2,404.80	4.19%	$ 43	1.80%
Consumer Cyclicals									
60	HOME DEPOT INC	8/29/2000	50.100	3,006.04	51.01	3,060.60	5.33	12	.39
400	STARBUCKS CORP	7/27/1998	12.442	4,976.88	19.05	7,620.00	13.28		
Total Consumer Cyclicals				$ 7,982.92		$ 10,680.60	18.61%	$ 12	.11%
Health Care									
35	AMGEN INC	7/27/2000	69.969	2,448.94	56.44	1,975.40	3.44		
100	ICOS CORP	4/03/1998	16.331	1,633.13	57.44	5,744.00	10.01		
65	MEDTRONIC INC	6/29/2000	47.312	3,075.31	51.21	3,328.65	5.80	15	.45
61	PFIZER INC	✓3/26/2001	39.662	2,419.40	39.85	2,430.85	4.23	32	1.30
Total Health Care				$ 9,576.78		$ 13,478.90	23.49%	$ 47	.35%
Energy									
35	SMITH INTERNATIONAL INC DE	✓12/03/2001	45.600	1,592.60	53.62	1,876.70	3.27		
Financials									
30	AMER INTERNATIONAL GROUP INC	✓4/10/2001	77.000	2,310.00	79.40	2,382.00	4.15	5	.21
40	GOLDEN STATE BANCORP INC	✓10/12/2001	26.992	1,079.70	26.15	1,046.00	1.82	16	1.53
225	WASHINGTON MUTUAL INC	4/03/1998	33.619	7,564.38	32.70	7,357.50	12.82	216	2.94
Total Financials				$ 10,954.08		$ 10,785.50	18.79%	$ 237	2.20%
Technology									
25	*** CHECK POINT SOFTWARE TEC LTD	✓5/17/2001	54.092	1,352.32	39.89	997.25	1.73		
40	APPLIED MATERIALS INC DELAWA	✓11/15/2001	39.040	1,561.60	40.10	1,604.00	2.79		
60	INTEL CORP	6/29/2000	66.000	3,960.00	31.45	1,887.00	3.28	5	.25

3150

5b

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Common Stocks									
20	INTL BUSINESS MACHINES CORP	6/29/2000	$ 110.562	$ 2,211.25	$ 120.96	$ 2,419.20	4.21%	$ 11	.46%
75	MICROSOFT CORP	4/03/1998	46.540	3,490.55	66.25	4,968.75	8.66		
50	SUN MICROSYSTEMS INC	11/09/2000	48.796	2,439.80	12.30	615.00	1.07		
Total Technology				$ 15,015.52		$ 12,491.20	21.77%	$ 16	.13%
Telecommunications									
125	CISCO SYS INC	6/29/2000	61.250	7,656.25	18.11	2,263.75	3.94		
30	QUALCOMM INC	6/29/2000	61.437	1,843.13	50.50	1,515.00	2.64		
Total Telecommunications				$ 9,499.38		$ 3,778.75	6.58%		
Total Common Stocks				$ 57,163.22		$ 55,496.45	96.72%	$ 355	.64%
Total Equities and Related Investments				$ 57,163.22		$ 55,496.45	96.72%	$ 355	.64%
Cash and Short Term Investments									
Money Market Funds - Taxable									
1,879.16	DREYFUS LIQUID ASSETS INC		1.000	1,879.16	1.00	1,879.16	3.27	37	1.99
Total Cash and Short Term Investments				$ 1,879.16		$ 1,879.16	3.27%	$ 37	1.99%
Total Portfolio				$ 59,042.38		$ 57,375.61	100.00%	$ 392	.68%

3151

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Quarterly Review

Fourth Quarter 2001

MCDERMOTT JAMES A
443-65137-19 456
THE DONNELLY GROUP
5i

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Equities and Related Investments									
Common Stocks									
Conglomerates									
180	GENERAL ELECTRIC CO	3/13/2001	$ 42.367	$ 7,626.11	$ 40.08	$ 7,214.40	3.20%	$ 130	1.80%
Consumer Cyclicals									
135	HOME DEPOT INC	11/16/2001	45.584	6,153.88	51.01	6,886.35	3.05	27	.39
Health Care									
100	AMGEN INC	8/21/2000	67.875	6,787.50	56.44	5,644.00	2.50		
106	MEDTRONIC INC	1/10/1997	17.625	1,868.25	51.21	5,428.26	2.41	24	.45
144	MEDTRONIC INC	1/10/1997	17.593	2,533.50	51.21	7,374.24	3.27	33	.45
250	**** Security Total**			**$ 4,401.75**		**$ 12,802.50**	**5.68%**	**$ 58**	**.46%**
165	PFIZER INC	5/21/2001	44.886	7,406.19	39.85	6,575.25	2.92	86	1.30
Total Health Care				**$ 18,595.44**		**$ 26,021.75**	**11.11%**	**$ 143**	**.57%**
Energy									
100	APACHE CORP	11/30/2001	45.942	4,594.23	49.88	4,988.00	2.21	79	1.59
165	COOPER CAMERON CORP	12/04/2001	37.064	6,113.96	40.36	6,659.40	2.95		
100	SMITH INTERNATIONAL INC DE	12/03/2001	45.500	4,550.00	53.62	5,362.00	2.38		
Total Energy				**$ 15,258.19**		**$ 17,009.40**	**7.55%**	**$ 79**	**.47%**
Financials									
200	FEDERAL NATIONAL MORTGAGE AS	1/24/1995	17.858	3,571.75	79.50	15,900.00	7.06	240	1.51
105	GOLDEN STATE BANCORP INC	10/12/2001	26.992	2,834.21	26.15	2,745.75	1.21	42	1.53
95	WASHINGTON MUTUAL INC	11/05/2001	30.499	2,897.43	32.70	3,106.50	1.37	91	2.94
105	WASHINGTON MUTUAL INC	11/30/2001	31.240	3,280.20	32.70	3,433.50	1.52	101	2.94
200	**** Security Total**			**$ 6,177.63**		**$ 6,540.00**	**2.90%**	**$ 192**	**2.94%**
Total Financials				**$ 12,583.59**		**$ 25,185.75**	**11.18%**	**$ 474**	**1.88%**

5j

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Common Stocks									
Technology									
65	*** CHECK POINT SOFTWARE TEC LTD	5/17/2001	$ 57.420	$ 3,732.30	$ 39.89	$ 2,592.85	1.15%		
10	*** CHECK POINT SOFTWARE TEC LTD	11/14/2001	40.784	407.84	39.89	398.90	.17		
75	** Security Total			$ 4,140.14		$ 2,991.75	1.32%		
115	APPLIED MATERIALS INC DELAWA	11/15/2001	39.040	4,489.60	40.10	4,611.50	2.04		
208	INTEL CORP	1/10/1997	17.859	3,714.75	31.45	6,541.60	2.90	17	.25
224	INTEL CORP	1/10/1997	17.890	4,007.50	31.45	7,044.80	3.12	18	.25
432	** Security Total			$ 7,722.25		$ 13,586.40	6.03%	$ 35	.25%
30	INTL BUSINESS MACHINES CORP	4/20/1998	54.750	1,642.50	120.96	3,628.80	1.61	17	.46
30	INTL BUSINESS MACHINES CORP	10/27/1999	94.062	2,821.88	120.96	3,628.80	1.61	17	.46
60	** Security Total			$ 4,464.38		$ 7,257.60	3.22%	$ 34	.46%
152	MICROSOFT CORP	1/30/1997	24.875	3,781.00	66.25	10,070.00	4.47		
160	MICROSOFT CORP	1/30/1997	24.875	3,980.00	66.25	10,600.00	4.70		
312	** Security Total			$ 7,761.00		$ 20,670.00	9.17%		
Total Technology				$ 28,577.37		$ 49,117.25	21.81%	$ 68	.14%
Telecommunications									
492.53	CISCO SYS INC	1/10/1997	7.555	3,721.39	18.11	8,919.84	3.96		
535.08	CISCO SYS INC	1/10/1997	7.541	4,035.41	18.11	9,690.32	4.30		
17.91	CISCO SYS INC	2/05/1997	7.000	125.37	18.11	324.35	.14		
8.91	CISCO SYS INC	2/05/1997	6.999	62.43	18.11	161.52	.07		
89.55	CISCO SYS INC	5/01/1997	5.861	524.88	18.11	1,621.81	.72		
1,144	** Security Total			$ 8,469.48		$ 20,717.84	9.20%		

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Quarterly Review

Fourth Quarter 2001

MCDERMOTT JAMES A
443-65137-19 456
THE DONNELLY GROUP
5K

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Common Stocks									
85	QUALCOMM INC	9/24/1999	$ 47.401	$ 4,029.10	$ 50.50	$ 4,292.50	1.90%		
Total Telecommunications				$ 12,498.58		$ 25,010.34	11.10%		
Total Common Stocks				$ 101,293.16		$ 155,445.24	69.03%	$ 921	.59%
Total Equities and Related Investments				$ 101,293.16		$ 155,445.24	69.03%	$ 921	.59%
Cash and Short Term Investments									
Money Market Funds - Taxable									
69,730.08	DREYFUS LIQUID ASSETS INC		1.000	69,730.08	1.00	69,730.08	30.96	1,389	1.99
Total Cash and Short Term Investments				$ 69,730.08		$ 69,730.08	30.96%	$ 1,389	1.99%
Total Portfolio				$ 171,023.24		$ 225,175.32	100.00%	$ 2,310	1.03%

3154

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Equities and Related Investments									
Common Stocks									
Conglomerates									
20	GENERAL ELECTRIC CO	✓3/13/2001	$ 42.367	$ 847.35	$ 40.08	$ 801.60	4.95%	$ 14	1.80%
Consumer Cyclicals									
25	COSTCO WHOLESALE CORP NEW	10/23/2000	33.562	839.06	44.38	1,109.50	6.86		
20	HOME DEPOT INC	8/29/2000	50.100	1,002.01	51.01	1,020.20	6.30	4	.39
30	STARBUCKS CORP	✓4/27/2001	18.750	562.50	19.05	571.50	3.53		
6	STARBUCKS CORP	✓6/01/2001	19.350	116.10	19.05	114.30	.70		
36	** Security Total			$ 678.60		$ 685.80	4.24%		
Total Consumer Cyclicals				$ 2,519.67		$ 2,815.50	17.41%	$ 4	.14%
Health Care									
10	AMGEN INC	7/27/2000	69.969	699.70	56.44	564.40	3.49		
22	MEDTRONIC INC	4/04/2000	52.500	1,155.00	51.21	1,126.62	6.96	5	.45
10	PFIZER INC	✓3/26/2001	38.302	383.02	39.85	398.50	2.46	5	1.30
5	PFIZER INC	✓4/18/2001	41.000	205.00	39.85	199.25	1.23	3	1.30
2	PFIZER INC	✓7/02/2001	40.890	81.78	39.85	79.70	.49	1	1.30
17	** Security Total			$ 669.80		$ 677.45	4.18%	$ 9	1.30%
Total Health Care				$ 2,524.50		$ 2,368.47	14.64%	$ 14	.59%
Energy									
10	APACHE CORP	✓11/30/2001	45.942	459.42	49.88	498.80	3.08	8	1.59
6	COOPER CAMERON CORP	✓8/20/2001	47.058	282.35	40.36	242.16	1.49		
9	COOPER CAMERON CORP	✓12/04/2001	37.054	333.49	40.36	363.24	2.24		
15	** Security Total			$ 615.84		$ 605.40	3.74%		
10	SMITH INTERNATIONAL INC DE	✓12/03/2001	45.500	455.00	53.62	536.20	3.31		
Total Energy				$ 1,530.26		$ 1,640.40	10.14%	$ 8	.48%

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Quarterly Review

Fourth Quarter 2001

MCDERMOTT JAMES A
443-07369-10 466
THE DONNELLY GROUP

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Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Common Stocks									
Financials									
10	AMER INTERNATIONAL GROUP INC	✓4/10/2001	$ 77.000	$ 770.00	$ 79.40	$ 794.00	4.91%	$ 2	.21%
10	GOLDEN STATE BANCORP INC	✓10/12/2001	26.993	269.93	26.15	261.50	1.61	4	1.53
10	WASHINGTON MUTUAL INC	✓10/17/2001	33.599	335.99	32.70	327.00	2.02	10	2.94
10	WASHINGTON MUTUAL INC	✓11/30/2001	31.240	312.40	32.70	327.00	2.02	10	2.94
20	**** Security Total**			**$ 648.39**		**$ 654.00**	**4.04%**	**$ 19**	**2.94%**
Total Financials				**$ 1,688.32**		**$ 1,709.50**	**10.57%**	**$ 25**	**1.46%**
Technology									
5	*** CHECK POINT SOFTWARE TEC LTD	✓5/17/2001	57.420	287.10	39.89	199.45	1.23		
7	*** CHECK POINT SOFTWARE TEC LTD	✓5/25/2001	61.257	428.80	39.89	279.23	1.72		
12	**** Security Total**			**$ 715.90**		**$ 478.68**	**2.96%**		
5	APPLIED MATERIALS INC DELAWA	✓8/30/2001	43.450	217.25	40.10	200.50	1.24		
10	APPLIED MATERIALS INC DELAWA	✓9/17/2001	36.530	365.30	40.10	401.00	2.48		
15	**** Security Total**			**$ 582.55**		**$ 601.50**	**3.72%**		
20	INTEL CORP	4/04/2000	63.562	1,271.25	31.45	629.00	3.89	2	.25
5	INTEL CORP	✓5/18/2001	28.770	143.85	31.45	157.25	.97		.25
25	**** Security Total**			**$ 1,415.10**		**$ 786.25**	**4.86%**	**$ 2**	**.25%**
4	INTL BUSINESS MACHINES CORP	4/04/2000	122.750	491.00	120.96	483.84	2.99	2	.46
2	INTL BUSINESS MACHINES CORP	4/05/2000	122.250	244.50	120.96	241.92	1.49	1	.46
6	**** Security Total**			**$ 735.50**		**$ 725.76**	**4.48%**	**$ 3**	**.46%**
15	MICROSOFT CORP	4/04/2000	88.000	1,320.00	66.25	993.75	6.14		
40	SUN MICROSYSTEMS INC	4/04/2000	40.812	1,632.50	12.30	492.00	3.04		
Total Technology				**$ 6,401.55**		**$ 4,077.94**	**25.22%**	**$ 5**	**.13%**
Telecommunications									
40	CISCO SYS INC	4/04/2000	68.375	2,735.00	18.11	724.40	4.48		

3156

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Quarterly Review

Fourth Quarter 2001

MCDERMOTT JAMES A
443-07369-10 456
THE DONNELLY GROUP

5N

Investment Portfolio

Quantity	Description	Date Acquired	Unit Cost	Total Cost	Current Price	Total Value	Pct of Portfolio	Annual Income	Current Yield
Common Stocks									
10	QUALCOMM INC	10/23/2000	$ 72.875	$ 728.75	$ 50.50	$ 505.00	3.12%		
Total Telecommunications				$ 3,463.75		$ 1,229.40	7.60%		
Total Common Stocks				$ 18,975.40		$ 14,642.81	90.56%	$ 70	.48%
Total Equities and Related Investments				$ 18,975.40		$ 14,642.81	90.56%	$ 70	.48%
Cash and Short Term Investments									
Money Market Funds - Taxable									
1,525.40	SB MONEY FUNDS CASH PORT CL		1.000	1,525.40	1.00	1,525.40	9.43	24	1.55
Principal Cash									
.42	CASH BALANCE			.42		.42	0.00		
Total Cash and Short Term Investments				$ 1,525.82		$ 1,525.82	9.43%	$ 24	1.55%
Total Portfolio				$ 20,501.22		$ 16,168.63	100.00%	$ 94	.58%

SALOMON SMITH BARNEY

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Ref: 00038247 00295067

Client Statement
Forms 1099 for 2001

50

THERESE M HANSEN
Account Number 443-07421-16 456 SS # 475-70-4495

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
Tax ID Number 11-2418191

Your Financial Consultant

THE DONNELLY GROUP
SALOMON SMITH BARNEY INC.
TWO UNION SQUARE
601 UNION ST STE3400
SEATTLE, WA 98101
Branch Office : 206-628-4400

THERESE M HANSEN
1820 8TH AVE W
SEATTLE WA
98119-2846

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001

(OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000400	11/02/01	031162100000	10	AMGEN INC	$ 57.702	$ 577.01	
120001000	05/11/01	219350105000	15	CORNING INC	22.019	330.28	
120001200	11/19/01	268648102000	20	EMC CORP-MASS	16.65	332.99	
120001500	01/11/01	45678T102000	12	INFOSPACE INC	9.308	111.71	
120001600	11/13/01	459200101000	7	INTL BUSINESS MACHINES CORP	116.786	817.48	
120001700	08/19/01	46612J101000	15	JDS UNIPHASE CORP	5.30	79.51	
120001900	08/18/01	48203R104000	10	JUNIPER NETWORKS INC	8.93	89.30	
120002000	02/13/01	58003120100C		MCDATA CORP CLASS A		27.91	
120002100	02/22/01	654902204001	20	NOKIA CORP SPONSORED ADR EACH REPSTC "A" SH	22.309	446.18	
120002200	02/20/01	656568102001	25	NORTEL NETWORKS CORP NEW	19.00	474.98	
120002300	05/15/01	68389X105000	30	ORACLE CORP	16.192	485.74	
120002400	02/22/01	69344F106000	10	PMC SIERRA INC	48.167	481.68	
120002700	11/02/01	747525103000	3	QUALCOMM INC	51.05	153.14	
120002800	11/16/01	808513105000	30	SCHWAB CHARLES CORP	14.501	435.04	
120002900	10/31/01	826170102000	15	SIEBEL SYSTEMS INC	16.40	245.98	
120003500	03/12/01	893818101000	20	XILINX INC	42.013	840.25	
Totals						**$ 5,919.17**	

SALOMON SMITH BARNEY

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Ref: 00038255 00295126

Individual Retirement Account
2001 Year End Summary

50

THERESE M HANSEN

Account Number 443-67927-19 456 SS # 475-70-4495

Details of Deposits

This reflects all deposits and adjustments to your account.

Reference number	Deposit date	Description	--REPORTABLE FOR TAX YEAR-- 2000	2001	Non-Reportable
320003100	02/06/01	DEPOSIT RECEIVED 6 DEPOSIT RECEIVED AT 00443 - SEATTLE, WA CURRENT YR NONDEDUCTIBLE		$ 2,000.00	
Total			$ 0.00	$ 2,000.00	$ 0.00

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000200	38	CORNING INC	09/27/00	05/11/01	$ 782.66	$ 3,701.03	($ 2,908.37)	
	9	We acted as your agent	10/25/00		198.16	691.98	(493.82)	
	5	In this transaction.	01/30/01		110.09	288.09	(178.00)	
125000300	10	EMC CORP-MASS We acted as your agent In this transaction.	05/01/01	11/19/01	166.49	412.50	(246.01)	
125000400	35	INFOSPACE INC SALOMON SMITH BARNEY	08/29/00	01/11/01	325.80	1,990.63	(1,664.83)	
125000700	15	JUNIPER NETWORKS INC	10/25/00	05/19/01	148.95	2,969.63	(2,820.68)	
	3	We acted as your agent	11/10/00		29.79	515.12	(485.33)	
	25	In this transaction.	05/11/01		248.24	1,363.50	(1,115.26)	
		SALOMON SMITH BARNEY						
125000800	.8403	MCDATA CORP CLASS A CASH IN LIEU OF .84034 GENERATED 02/09/01 SPN CANCEL	08/29/00	02/13/01	31.86	37.10	(5.24)	
125000900	1	MCDATA CORP CLASS A SALOMON SMITH BARNEY	08/29/00	02/20/01	25.61	44.14	(18.53)	
125001000	15	MEDTRONIC INC	08/29/00	01/26/01	826.85	709.69		117.16
125001100	80	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	08/29/00	02/22/01	1,764.71	3,760.00	(1,975.29)	

2001 YEAR END SUMMARY

3159

SALOMON SMITH BARNEY

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Ref: 00039255 00295127

Individual Retirement Account
2001 Year End Summary

59

THERESE M HANSEN

Account Number 443-67927-19 456 SS # 475-70-4495

2001 YEAR END SUMMARY

Details of Short Term Gain (Loss) 2001 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001200	25	NORTEL NETWORKS CORP NEW	09/07/00	02/20/01	$ 474.98	$ 1,941.67	($ 1,466.69)	
125001300	100	ORACLE CORP We acted as your agent in this transaction. SALOMON SMITH BARNEY	09/29/00	05/15/01	1,619.15	3,996.88	(2,377.73)	
125001400	20	PMC SIERRA INC SALOMON SMITH BARNEY FULL PRICE IS 46.19773000	06/29/00	02/22/01	923.32	3,571.25	(2,647.93)	
125001500	10	QUALCOMM INC SALOMON SMITH BARNEY	08/29/00	03/22/01	561.89	614.37	(52.48)	
125001700	5	SCHWAB CHARLES CORP We acted as your agent in this transaction.	01/24/01	11/16/01	72.51	141.88	(69.37)	
125001800	50	XILINX INC SALOMON SMITH BARNEY FULL PR CE IS 42.01342000 TRADE AS OF 03/12/01	08/29/00	03/12/01	2,100.62	4,028.13	(1,927.51)	
Total					**$ 10,441.68**	**$ 30,777.79**	**($ 20,453.27)**	**$ 117.16**

Details of Long Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	20	AMGEN INC We acted as your agent in this transaction. SALOMON SMITH BARNEY	07/27/00	11/01/01	$ 1,166.96	$ 1,399.39	($ 232.43)	
125000300	50	EMC CORP-MASS We acted as your agent in this transaction.	08/29/00	11/19/01	832.48	3,628.14	(2,795.66)	
125000500	15	INTL BUSINESS MACHINES CORP We acted as your agent in this transaction.	08/29/00	11/13/01	1,751.74	1,658.44		93.30

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00038255 00285128

Individual Retirement Account
2001 Year End Summary

5B

THERESE M HANSEN
Account Number 443-67927-19 456 SS # 475-70-4495

Details of Long Term Gain (Loss) 2001 - continued

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000800	40	JDS UNIPHASE CORP We acted as your agent in this transaction. SALOMON SMITH BARNEY	07/10/00	09/19/01	$ 212.01	$ 4,110.00	($ 3,897.99)	
125001600	20	QUALCOMM INC We acted as your agent in this transaction. SALOMON SMITH BARNEY	06/29/00	11/02/01	1,020.97	1,228.75	(207.78)	
Total					$ 4,984.18	$ 12,024.72	($ 7,133.88)	$ 93.30

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00012501 00094876

Preferred Client Individual Retirement Account 2001 Year End Summary

5S

JAMES A MCDERMOTT
Account Number 443-65137-19 456 SS # 358-28-7705

2001 YEAR END SUMMARY

Details of Deposits

This reflects all deposits and adjustments to your account.

Reference number	Deposit date	Description	--REPORTABLE FOR TAX YEAR-- 2000	2001	Non-Reportable
320000100	02/05/01	DEPOSIT RECEIVED 6 DEPOSIT RECEIVED AT 00443 - SEATTLE, WA CURRENT YR NONDEDUCTIBLE		$ 2,000.00	
320000200	03/19/01	CREDIT CASH BALANCE ACCT-TRANSFRD-03 19 01 FERRIS, BAKER WATTS, INC.			38,562.35
320000300	04/11/01	CUR YR CONTR NON-DEDUCTIBLE ADJUSTMENT OF -2000.00		-2,000.00	
320000400	04/11/01	PR YR CONTR NONDEDUCTIBLE ADJUSTMENT OF 2000.00	2,000.00		
Total			**$ 2,000.00**	**$ 0.00**	**$ 38,562.35**

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Less)	Gain
125000200	75	CORNING INC	10/18/00	05/11/01	$ 1,851.37	$ 7,239.20	($ 5,387.83)	
	140		11/10/00		3,082.56	8,633.93	(5,551.37)	
125000500	45	JDS UNIPHASE CORP SALOMON SMITH BARNEY FULL PRICE IS 5.30042000	10/25/00	09/19/01	238.51	3,178.13	(2,939.62)	
125000600	70	JUNIPER NETWORKS INC	10/25/00	09/19/01	895.08	13,858.25	(13,163.17)	
	60	SALOMON SMITH BARNEY	05/11/01		595.78	3,272.40	(2,676.62)	
125001100	70	NORTEL NETWORKS CORP NEW	11/10/00	02/20/01	1,329.98	2,725.63	(1,395.67)	
125001300	105	PMC SIERRA INC SALOMON SMITH BARNEY FULL PRICE IS 48.16773000	04/20/00	02/22/01	4,847.45	15,172.50	(10,325.05)	

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00012501 00084877

Preferred Client
Individual Retirement Account
2001 Year End Summary 5+

JAMES A MCDERMOTT
Account Number 443-65137-19 456 SS # 358-28-7705

2001 YEAR END SUMMARY

Details of Short Term Gain (Loss) 2001 - *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001600	70	SCHWAB CHARLES CORP TRADE AS OF 11/19/01	01/24/01	11/19/01	$ 1,039.24	$ 1,986.25	($ 947.01)	
Total					**$ 13,479.95**	**$ 56,066.29**	**($ 42,586.34)**	

Details of Long Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	120	AMGEN INC	08/17/00	11/01/01	$ 7,001.77	$ 8,330.20	($ 1,328.43)	
	20	SALOMON SMITH BARNEY	08/21/00		1,168.95	1,357.50	(190.54)	
		TRADE AS OF 11/01/01						
125000300	320	EMC CORP-MASS	11/03/99	11/19/01	5,327.82	11,864.46	(6,536.64)	
125000400	30	INTL BUSINESS MACHINES CORP	04/20/88	11/13/01	3,503.49	1,642.50		1,860.99
	30		04/20/88		3,503.49	1,642.50		1,860.99
125000500	80	JDS UNIPHASE CORP	02/14/00	09/19/01	424.02	7,961.24	(7,537.22)	
	55	SALOMON SMITH BARNEY	03/20/00		291.52	6,859.78	(6,568.26)	
		FULL PRICE IS 5.30042000						
125000700	.7762	MCDATA CORP CLASS A	11/03/99	02/13/01	29.51	17.55		11.96
		CASH IN LIEU OF .7762						
		GENERATED- 02/08/01 SPN CANCEL						
125000800	11	MCDATA CORP CLASS A	11/03/99	02/20/01	281.74	248.10		33.64
		SALOMON SMITH BARNEY						
125000900	30	MEDTRONIC INC	01/10/97	01/26/01	1,653.69	528.75		1,124.94
125001000	120	NOKIA CORP SPONSORED ADR	01/19/99	02/22/01	2,677.06	2,148.71		528.35
	240	EACH REPSTG "A" SH	01/19/99		5,354.13	4,297.42		1,056.71
125001200	800	ORACLE CORP	12/14/99	03/15/01	12,953.17	15,398.00	(2,444.83)	
		SALOMON SMITH BARNEY						
125001400	70	QUALCOMM INC	09/24/99	03/22/01	3,933.23	3,318.08		615.15
		SALOMON SMITH BARNEY						
125001500	65	QUALCOMM INC	09/24/99	11/02/01	4,339.11	4,029.10		310.01
		SALOMON SMITH BARNEY						

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00012501 00094878

Preferred Client
Individual Retirement Account
2001 Year End Summary 5k

JAMES A MCDERMOTT
Account Number 443-65137-19 456 *SS # 358-28-7705*

Details of Long Term Gain (Loss) 2001 *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125001600	240	SCHWAB CHARLES CORP TRADE AS OF 11/19/01	10/12/00	11/19/01	$ 3,563.12	$ 6,622.58	($ 3,059.46)	
125001700	210	SIEBEL SYSTEMS INC SALOMON SMITH BARNEY	10/18/99	10/31/01	3,443.89	4,330.10	(886.21)	
125001800	280 40	XILINX INC SALOMON SMITH BARNEY FULL PRICE IS 42.01362000 TRADE AS OF 03/12/01	11/16/99 01/19/00	03/12/01	12,183.60 1,680.50	13,048.04 1,880.00	(864.44) (199.50)	
Total					**$ 73,311.82**	**$ 95,524.61**	**($ 29,816.53)**	**$ 7,402.74**

SALOMON SMITH BARNEY

A member of citigroup

Ref: 00098249 00285058

Preferred Client Statement
Forms 1099 for 2001

5V

JAMES A MCDERMOTT AND

Account Number 443-07369-10 456 SS # 358-28-7705

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
Tax ID Number 11-2418191

Your Financial Consultant

THE DONNELLY GROUP
SALOMON SMITH BARNEY INC.
TWO UNION SQUARE
601 UNION ST STE3400
SEATTLE, WA 98101
Branch Office : 206-628-4400

JAMES A MCDERMOTT AND
THERESE M HANSEN JTWROS
1920 9TH AVE W
SEATTLE WA
98119-2946

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001

(OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000300	02/20/01	000886101000	55	ADC TELECOMMUNICATIONS INC	$ 11.209	$ 610.51	
120000500	11/02/01	031162100000	10	AMGEN INC	57.702	577.01	
120001100	05/11/01	219350105000	15	CORNING INC	22.019	330.28	
120001200	07/12/01	22160K105000	10	COSTCO WHOLESALE CORP NEW	43.278	432.77	
120001300	11/18/01	268648102000	24	EMC CORP-MASS	16.65	399.59	
120001600	01/11/01	458787102000	12	INFOSPACE INC	9.308	111.71	
120001800	11/13/01	459200101000	6	INTL BUSINESS MACHINES CORP	116.788	700.70	
120001900	09/19/01	46612J101000	15	JDS UNIPHASE CORP	5.30	79.51	
120002100	09/10/01	45203R104000	12	JUNIPER NETWORKS INC	9.93	119.16	
120002200	02/13/01	580031201000		MCDATA CORP CLASS A		33.50	
120002300	01/26/01	585055106000	3	MEDTRONIC INC	55.125	165.37	
120002400	02/22/01	654902204001	40	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	22.308	892.33	
120002500	02/20/01	656568102001	25	NORTEL NETWORKS CORP NEW	19.00	474.98	
120002600	05/15/01	68389X105000	40	ORACLE CORP	16.192	647.83	
120002700	02/22/01	69344F105000	10	PMC SIERRA INC	46.167	461.66	
120003100	11/02/01	747525103000	10	QUALCOMM INC	51.05	510.48	

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00038246 00295059

Preferred Client Statement
Forms 1099 for 2001

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JAMES A MCDERMOTT AND
Account Number 443-07369-10 456 SS # 358-28-7705

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 - *continued*

(OMB#1545-0715)

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120003200	11/16/01	808513105000	40	SCHWAB CHARLES CORP	$ 14.501	$ 580.04	
120003300	10/31/01	826170102000	15	SIEBEL SYSTEMS NC	16.40	245.99	
120004000	03/12/01	983919101000	20	XILINX INC	42.013	840.26	
Totals						$ 8,219.52	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name James A McDermott

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Confederation of Indian Industries (CII) Partner Summit	1/6/01-1/18/01	IAD-Delhi, Hyderabad, Bangalore, Cochin (India)-IAD	Y	Y	Y	1/13-1/18/01
The Indo-American Chamber of Commerce of Northern California (India Republic Day) (Spch)	1/26/01-1/27/01	SEA-SFO-SEA	Y	Y	N	N/A
Digital Partners Foundation, New York	03/23/2001	NYC	Y	N	N	N/A
Univ of IL at Chicago, College of Medicine, Convocation Speech, Chicago, IL	05/04/2001	ORD	N	N	N	N/A
Am Assn of Physicians of Indian Origin Annual Mtg (Spch), San Ramon, CA	05/19/2001	SEA-SFO-SEA	N	N	N	N/A
2001 Greater Seattle International Study Mission , Stockholm, Sweden, "A Competitive Region in a World Economy"	5/25/01 - 6/2/01	IAD-CPH-ARN-CPH-SEA	Y	Y	N	N/A
Indo-American Kashmir Forum, Keynote Spkr	06/09/2001	SEA-SFO-SEA	N	N	N	N/A

SCHEDULE VIII - POSITIONS

Name James A. McDermott

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Sponsors	Washington Physicians for Social Responsibility
Member, Visiting Committee	The Henry M. Jackson School of International Studies
Member (ex officio), Board of Directors	Washington State China Relations Council
Member, Advisory Council	Greater Seattle Vietnam Association
Member, Advisory Committee	Seattle-Chongqing Sister City Association
Member, Foundation Associates	Pacific Science Center
Member, Advisory Board	Childhaven
Member, Advisory Board	Seattle Cuba Sister City Association
Co-Chair, Advisory Committee	Centurions of Seattle Vocational Institute
EarthWork Northwest Advisory Board	The Student Conservation Association
Honorary Member	Seattle-Sihanoukville Sister City Association
Honorary Co-Chair	Lawyers Helping Hungry Children

SCHEDULE VIII - POSITIONS

Name James A. McDermott

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Advisory Board	University of Washington Program on Africa
Honorary Member	World Trade Center Seattle
Member, International Advisory Board	Digital Partners
Red Cap Chairman	American Heart Association Metro King County Heartwalk 2001
Member, Advisory Committee	Tom Wales Endowment Fund

(6)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

James P. McGovern
(Full Name)

393 Burncoat Street
(Mailing Address)

Worcester MA 01606

Daytime Telephone: 202-225-6101

Filer Status	[X] Member of the U.S. House of Representatives — State: MA District: 03	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ] No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ] No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ] No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	James P. McGovern	5-15-02

3170

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	General Services Administration (spouse)	Spouse Salary	NA
	District of Columbia (spouse)	unemployment benefits	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name James P. McGovern | Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT (Examples: SP Mega Corp. Stock; DC Simon & Schuster; JT 1st Bank of Paducah, KY accounts)	Indefinite	X	X	X	P
JT	25% interest in family vacation home in MA	X	X	X	
SP	Janus Fund X	X	Y	X	
SP	Janus Fund 20	X	Y	X	
SP	Partner Fund	X	Y	X	
SP	Congressional FCU Money Market	X	Y	X	
DC	Raymond James Financial Services Inc.	X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James P. McGovern Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	1225 Massachusetts Washington DC - downsters rental unit							X							X											X						

This page may be copied if more space is required.

Name James P. McGovern Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Fleet Mortgage, Providence	25% interest in family vacation home in MA		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Washington Office on Latin America	2/16 to 2/22	Wash DC - Bogota, Colombia	Y	Y	N	N
	Aspen Institute	3/9 to 3/11	Wash DC - White Sulphur Springs, WV	Y	Y	Y	N
	MA College of Pharmacy	6/22 to 6/25	Wash DC - Havana, Cuba	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:36
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

JOHN M. McHugh
(Full Name)
PO Box 863, Plattsburgh Manor, N.Y. 13774
(Mailing Address)
Daytime Telephone (315)-465-5261

Filer Status	[X] Member of the U.S. House of Representatives — State: N.Y. District: 24 C.D.	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Terminal on — Termination Date:

(Office Use Only)

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John M. McHugh	5/14/02

3176

Name John M. McHugh | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Educat on	Spouse Salary	NA
	None		

For payments to charity in lieu of honoraria, use Schedule II.

Name JOHN M. McHugh | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
GUINNESS · UDV	ST. PATRICKS Festival	March 18, 2001	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOHN M. McHUGH

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: None	A $1 – $1,000	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	L	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	I $1 – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	XI	Block E
SP		SP	Mega Corp. Stock				X									X										X								P
DC,	*Examples:*		Simon & Schuster		Indefinite																	Royalties								X				
JT			1st Bank of Paducah, KY accounts						X									X										X						
	KEYBANK STOCK, NA					X										X								X										
	KEYBANK NA CD					X												X							X									
	COMMUNITY SAVINGS CD					X												X							X									
	HSBC SAVINGS			X														X						X										
	CONFEDERATION FED CREDIT UNION						X											X							X									
	STATE EMPLOYEE CREDIT UNION			X														X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN M. McHugh

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	FEDERAL CREDIT UNION OFFICE ACCOUNT			X												X						X										

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3180

SCHEDULE IV — TRANSACTIONS

Name JOHN M. McHugh

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	RECREATIONAL HOME – LEWIS CO.		X		9-15-01				X						

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	None						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
MEMBER - BOARD of VISITORS	UNITED STATES MILITARY ACADEMY AT WEST POINT

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

JOHN M. McHUGH
24TH DISTRICT, NEW YORK

COMMITTEE ON ARMED SERVICES
SUBCOMMITTEE ON MILITARY PERSONNEL
CHAIRMAN
SUBCOMMITTEE ON MILITARY INSTALLATIONS AND FACILITIES
SPECIAL OVERSIGHT PANEL ON MORALE, WELFARE AND RECREATION
COMMITTEE ON GOVERNMENT REFORM
SUBCOMMITTEE ON NATIONAL SECURITY, VETERANS' AFFAIRS, AND INTERNATIONAL RELATIONS
SUBCOMMITTEE ON ENERGY POLICY, NATURAL RESOURCES, AND REGULATORY AFFAIRS
COMMITTEE ON INTERNATIONAL RELATIONS
SUBCOMMITTEE ON THE MIDDLE EAST AND SOUTH ASIA

Congress of the United States
House of Representatives
2441 Rayburn House Office Building
Washington, DC 20515–3224
(202) 225–4611
http://www.house.gov/mchugh/

DISTRICT OFFICES
HSBC BANK BUILDING
120 WASHINGTON STREET
SUITE 200
WATERTOWN, NY 13601
(315) 782–3150

104 FEDERAL BUILDING
PLATTSBURGH, NY 12901
(518) 563–1400

FULTON COUNTY OFFICE BUILDING
223 WEST MAIN STREET
ROOM 10
JOHNSTOWN, NY 12095
(518) 762–0379

June 11, 2002

HAND DELIVERED

2002 JUN 12 PM 1:25
LEGISLATIVE RESOURCE CENTER

Honorable Jeff Trandahl
Office of the Clerk
Legislative Resource Center
B-106 Cannon House Office Building
Washington, D.C. 20515

Dear Mr. Trandahl:

As you will note, on page one of the Financial Disclosure Statement for Calendar Year 2002, I inadvertently left question VII blank although the appropriate schedule documenting the necessary information to answer the question was completed. Accordingly, I would like to amend my submission to note the appropriate "no" box on question VII on page one of the statement.

Sincerely yours,

John M. McHugh
Member of Congress

JMM/dmb

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(7)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:39
(Office Use Only)
U.S. HOUSE OF REPRESENTATIVES
THE CLERK

Scott McInnis
(Full Name)

320 Cannon House Office Building Washington, DC 20510
(Mailing Address)

202 225-4761
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives — State: CO District: 03	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	SL	5/14/02

SCHEDULE I - EARNED INCOME

Name Scott McInnis

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Friends of Scott McInnis, Inc.	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Scott McInnis

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $6,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Alpine Bank of Colorado Savings	$15,001 - $50,000	INTEREST	$2,501 - $5,000	
	U.S. Bank	$15,001 - $50,000	INTEREST		
JT	Bank of Colorado(f.k.aa. Colorado National Bank) IRAs	$15,001 - $50,000	INTEREST	$2,501 - $5,000	
	1st Federal Savings (deferred income)	$50,001 - $100,000	INTEREST/DIVIDENDS	N/A	
SP	David Smith Ranch Stock	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Alpine Bank IRA	$1,001 - $15,000	INTEREST	N/A	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Scott McInnis

JT	Invest Partnership (Owns 50% of value listed) Investments, Durango Colorado				
	Grand Valley Water Shares	$50,001 - $100,000	RENT	$201 - $1,000	P
	Invest 1	$15,001 - $50,000	NONE	NONE	P
	LTIC, Inc. Investments (Denver)	$15,001 - $50,000	NONE	NONE	
	AG Edwards Saving	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	US Bank Corporation Savings	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Applewood MHP (Sterling)	$100,001 - $250,000	NONE	NONE	
JT	S & L McInnis LLP 1%	$15,001 - $50,000	INTEREST/DIVDENDS	$201 - $1,000	
DC	Daxon McInnis Irrevocable Trust	$500,001 - $1,000,000	INTEREST/DIVDENDS	$5,001 - $15,000	
DC	Andrea McInnis Irrevocable	$500,001 - $1,000,000	INTEREST/DIVDENDS	$5,001 - $15,000	
DC	Tessa McInnis Irrevocable Trust	$500,001 - $1,000,000	INTEREST/DIVDENDS	$5,001 - $15,000	
JT	Townhome Lot 1 Hills #1 Washington County (St. George, UT) 1/6 ownership	$15,001 - $50,000	NONE	NONE	

SCHEDULE IV - TRANSACTIONS

Name Scott McInnis

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Grand Valley Water Shares	P	3/19/01	$50,001 - $100,000
JT	Invest 1, Investments	P	6/29/01	$15,001 - $50,000
	U.S. Bank	S	2/15/01	$15,001 - $50,000
	U.S. Bank			

SCHEDULE V - LIABILITIES

Name Scott McInnis

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Alpine Bank	Line of Credit	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Scott McInnis

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
World Forum American Enterprise Institute	June 21-23	Grand Junction-Vail	Y	Y	Y	N/A
Association of American Railroads	July 5-8	Grand Junction-Capser-Cody	Y	Y	Y	N/A
Association of American Railroads	Jan 18-22	Grand Junction-Denver-Miami-Wash Dulles	Y	Y	Y	1 Day
National Parks Conservation Association	Aug 8-Aug14	Grand Junction-Denver-Seattle-Anchorage	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:31
(Office Use Only)
MC

Mike McIntyre
(Full Name)

1701 North Chestnut Street
(Mailing Address)

Lumberton, NC 28358

Daytime Telephone: (202) 225-2731

Filer Status	[X] Member of the U.S. House of Representatives — State: NC District: 07	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Mike McIntyre	5/15/02

Name Mike McIntyre | Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of Income by checking the appropriate box below. Dividends, even if reinvested, should be listed as Income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Name	A	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples:	SP Mega Corp. Stock					X								X										X								P
		Simon & Schuster		Indefinite																	Royalties									X			
		1st Bank of Paducah, KY accounts						X									X										X						
	IRA, BB&T, Lumberton,		C			X																		n/a									
SP	IRA, BB&T, Lumberton,		C		X																			n/a									
JT	Checking Acct., BB&T Lumberton, NC				X												X						X										
DC	BB&T stock				X										X									X									S
DC	BB&T stock				X										X									X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Mike McIntyre

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
DC	General Electric Co			X										X								X										P
DC	Pfizer Inc.			X										X								X										P

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Name Mike McIntyre | Page 1 of 1

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
DC	BB&T common stock		X		8/23/01	X									
DC	BB&T common stock		X		9/4/01	X									
DC	General Electric Co.	X			9/01	X									
DC	Pfizer Inc.	X			9/01	X									

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Name Mike McIntyre | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-11	Wash., D.C. -Los Angeles - Cleveland	Y	Y	Y	2 Days
	The Aspen Institute	Mar. 9-11	Wash. DC - White Sulphur Springs, WV - Wash. DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN -6 PM 3:45
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Howard P. "Buck" McKeon
(Full Name)

2242 Rayburn H.O.B., Wa., D.C.
(Mailing Address)

202-225-1956
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: Ca. District: 25	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Howard P. "Buck" McKeon	5-22-02

3198

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	McKeon for Congress	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name *Howard P. "Buck" McKeon* Page *3* of *10*.

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A / Block B — Value of Asset

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000
Examples: SP	Mega Corp. Stock					X							
Examples:	Simon & Schuster		Indefinite										
	1st Bank of Paducah, KY accounts						X						
JT	Charles Schwab & Co. MM Fund & Acct.			X									
	Dean Witter IRA (42904)												
	Covad Comm. Grp. - Common Stock			X									
	Intel "			X									
	Nat. Health Prop "				X								
	Nextel Comm. Inc. "			X									

Block C — Type of Income

Asset and/or Income Source	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)
Mega Corp. Stock	X						
Simon & Schuster							Royalties
1st Bank of Paducah, KY accounts			X				
Charles Schwab & Co. MM Fund & Acct.			X				
Dean Witter IRA (42904)							
Covad Comm. Grp. - Common Stock							
Intel "	X						
Nat. Health Prop "	X						
Nextel Comm. Inc. "							

Block D — Amount of Income / Block E — Transaction

Asset and/or Income Source	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Mega Corp. Stock				X								P
Simon & Schuster									X			
1st Bank of Paducah, KY accounts						X						
Charles Schwab & Co. MM Fund & Acct.		X										
Dean Witter IRA (42904)												
Covad Comm. Grp. - Common Stock	X											P
Intel "		X										
Nat. Health Prop "				X								S
Nextel Comm. Inc. "	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Howard P. "Buck" McKeon

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Oracle Corp Common Stock			X																	X											
	MS Information Fund B Mut Fund			X																	X											
	MS Am. Opportunities "			X																	X											
	Van Kampen Emerging Gth "			X																	X											
	Alliance Tech B "			X																	X											
	Dean Witter IRA (42905)																															
	Covad Common Stock			X																	X											
	Intel "			X										X								X										
	Nat. Health Prop. "				X									X										X								
	Nextel "			X																	X											P
	Oracle "			X																	X											P
	Rite Aid "			X																	X											
	Schwab 6126-9218																															
	Covad			X																	X											
	Intel			X										X								X										
	Rite Aid			X																	X											
	Mutual Service Corp IRA																															
	Fid. Adv. Tech Cl A Mut Fund	X															X										X					S
	Janus Global LifeSci. " "	X															X								X							S
	Oppenheimer Ent. Cl A " "	X															X									X						S
	Pilgrim Int SmCap Gth Cl A " "	X															X									X						S
	Putnam Gth Opp. Cl A " "	X															X									X						S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Transaction P, S, E
SP	Mega Corp. Stock					X								X																		P
DC	*Examples:* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	MSC - IRA - Cont.																															
	Seligman Hi Yld Bond CIA	X															X								X							S
	Thornburg Value CIA	X															X										X					S
	Pershing Gov. Acct.	X														X	X								X							S
	Checking Acct - Fed Credit Union			X																												
	Savings " " " "			X																												

For additional assets and unearned income, use next page.

3202

SCHEDULE IV — TRANSACTIONS

Name Howard P. "Buck" McKeon

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Dole Food Co. Inc.		X		3-22-01	X									
	Ford Motor Co.		X		3-22-01	X									
	Nat. Health Prop.		X		3-22-01	X									
	Dole Food Co.		X		4-30-01	X									
	Ford Motor Co.		X		4-30-01	X									
	Van Kampen Focus Equity B (Mut Fund)		X		4-30-01	X									
	MSDW Mid-Cap Equity Trust B (")		X		5-1-01	X									
	Covad Comm. Grp.	X			6-28-01	X									
	Oracle	X			3-14-01	X									
	Nextel	X			3-14-01	X									
	La Z Boy		X		3-14-01	X									
	Ford Motor Co.		X		3-14-01	X									
	Rite Aid Corp	X			3-14-01	X									
	Sprint Corp		X		3-14-01	X									
	Nat. Health Prop.		X		3-14-01	X									
	MFS Investors Grth Stk B		X		4-30-01	X									

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SCHEDULE IV — TRANSACTIONS

Name Howard P. "Buck" McKeon | Page 7 of 10

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
JT	Dole Food Co.		X		4-30-01	X									
	Rite Aid Corp	X			5-10-01	X									
	Nextel	X			6-28-01	X									
	Covad	X			6-28-01	X									
	Rite Aid	X			6-28-01	X									
	Janus Global Life		X		1-31-01	X									
	Oppenheimer Ent. Cl A		X		1-31-01	X									
	Pilgrim Int. Sm Cap Gth Fund Cl A		X		1-31-01	X									
	Putnam Growth Opp. Fund Cl. A		X		1-31-01	X									
	Seligman Hi. Yield Bond Cl. A		X		1-31-01	X									
	Fid. Adv. Tech Cl. A.		X		~~Feb.~~ 2-28-01	X									
	Pilgrim Int. Sm. Cap Gth Fund Cl A		X		3-29-01	X									
	Putnam Gth. Opp. Fund Cl. A		X		3-29-01	X									
	Thornburg Value Cl. A		X		3-29-01		X								

This page may be copied if more space is required.

Name Howard P. "Buck" McKeon | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Peter Dorsch, Whittier, Ca.	Loan			X							
	Westmoor Mfg. Co., Tarrant Co., Tx.	"				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
The Islamic Institute	April 7-13	Wash., D.C.-Qatar-Wash, D.C.	Y	Y	Y	1 day
Nat. Assoc. Student Fin. Aid Admin.	July 20-23	Wash, D.C.-Wash. Tex-Wash, DC	Y	Y	N	N
Nat. Assoc. State Universities	Aug ~~20~~ 26 -26	Sun Valley, Idaho	Y	Y	Y	4 days
Assoc. of Proprietary C	26	Wa. Nat.-N.Y. LaGuardia-Wa.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Cynthia A. McKinney
(Full Name)

124 Cannon House Office Bldg. Washington, DC 20515
(Mailing Address)

202-225-1605
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representative	State: GA District: 4	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Cynthia McKinney	May 15, 2002

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Cynthia A. McKinney

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Council on American Islamic Relations	Oct. 6-7	ATL-LAX-ATL	Y	Y	N	N/A
Associationof Teacher Educators	Feb. 19	ATL-New Orleans-ATL	N	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Cynthia A. McKinney

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member- Board of Directors	Dikembe Mutombo Foundation, Inc.
Advisory Board Member	Shakur Foundation
Member - Board of Directors	Cool Girls, Inc.
Member - Board of Directors	Africa's Children's Fund
Advisory Board Member	Georgia Council of Adolescent Pregnancy Prevention

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U.S. HOUSE OF REPRESENTATIVES
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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Michael Robert McNulty
(Full Name)

86 West Street
(Mailing Address)

Green Island, New York 12183

Daytime Telephone: (202) 225-5076

Filer Status	[X] Member of the U.S. House of Representatives — State: New York District: 21st C.D.	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	M. McNulty	5-8-02

3211

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	GREEN ISLAND INSURANCE	RENEWAL COMMISSIONS	$1,575.00
	New York State Office of Court Administration	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Michael R. McNulty | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
The Connell Company	Speech	April 24, 2001	$2,000.00

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Name Michael R. McNulty | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock						X							X																		P
	Examples: Simon & Schuster					Indefinite														Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
	Gwen Leland Insurance			X																												
	5501 Seminary Rd #201 South Falls Church, Va. 22041 (own) purchased 1959 leased 1987					X								X											X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name MICHAEL R. McNULTY

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1-$1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Fleet Financial Group			X										X								X										

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Name Michael R. McNulty | Page 5 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	None														

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Name Michael R. McTurfey | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Wells Fargo Home Mortgage	Mortgage on 5501 Seminary Road, 201-S Fall Church Va.			X							
	C.R. King Associates, Inc. Albany, N.Y.	Secured Loan			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Connell Company	Apr 24	Albany NY - Newark, N.J. - Wash., D.C.	N	Y	N	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Capital Region Technology Development Council (not compensated)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO: 0902 77-791 (max)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:48
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Martin T. Meehan
(Full Name)

126 Belmont Avenue
(Mailing Address)

(202) 225-3411
Daytime Telephone:

Lowell, MA 01852

Filer Status	[X] Member of the U.S. House of Representatives — State: MA District: 5	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Martin T. Meehan	May 14, 2002

3220

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Lawrence General Hospital	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Martin T. Meehan

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E P, S, E
SP, DC, JT	Examples: SP Mega Corp Stock					X								X										X								P
	Examples: Simon & Schuster			Indefinite																Royalties								X				
	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
	Congressional FCU				X											X						X										
	New York Life Ins. Co.			X												X						X										
	Legg Mason IRA			X												X							X									
JT	Andover Bank, Svg.Act.				X											X							X									
SP	Legg Mason IRA			X												X					NA											
SP	Fidelity IRA			X												X					NA											

For additional assets and unearned income, use next page.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Campaign For America	June 16/19	Boston, MA - Los Angeles CA	Y	N	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(7) HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:53
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Carrie P. Meek
(Full Name)

2433 Rayburn HOB
(Mailing Address)

202-225-4506
Daytime Telephone.

Washington D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives	State: Florida District: 17	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Carrie P. Meek	5/15/02

3224

Name	Page
Carrie P. Meek	2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Florida	Teacher's Pension	63,523.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Carrie P. Meek | Page 3 of 7

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is joint held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X																		P
	Simon & Schuster		Indefinite																	Royalties				X				X				
	1st Bank of Paducah, KY accounts						X									X									X							
	Pointe Park Bank	X				Closed account										N/A									N/A							
	First Union Nat'l Bank accounts						X									X										X						
	Wright Patman Federal Credit Union Accounts						X									X										X						
	Travelers Tax Shelter Annuity				X											X								X								
	MetLife Asset Annuity			X												X						X										
	[redacted]	[redacted]																														[redacted]

For additional assets and unearned income, use next page.

Name Carrie P. Meek | Page 4 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B	Block C	Block D	Block E
			A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp Stock		X	X		P
	Simon & Schuster		Indefinite	Royalties	X	
	1st Bank of Paducah, KY accounts		X	X	X	
	Puryear, Inc		X			
	Bank of America accounts		X	X	X	

For additional assets and unearned income, use next page.

3227

Name Carrie P. Mark | Page 5 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	PNC Mortgage	mortgage on 1830 Lafrette Tallahassee, FL		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	American Airlines, AT&T + Microsoft Corp	March 15-18 2001	Wash. D.C. – San Jose, Ca. – Wash. D.C.	Y	Y	N	N

This page may be copied if more space is required.

Name Carrie P. Mack	Page 7 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Community Action Agency Dade Co. FL

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

(10)

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

2002 MAY 15 PM 3:23

MC

Gregory W. Meeks
(Full Name)

660 Grassmere Terraco Far Rockaway, NY 11691
(Mailing Address)

202-225-3461
Daytime Telephone

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: NY District: 6	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Gregory W. Meeks	May 15, 2002

3231

SCHEDULE I - EARNED INCOME

Name Gregory W. Meeks

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
NONE		

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Gregory W. Meeks

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
NONE			

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gregory W. Meeks

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Merrill Lynch Global	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
Merrill Lynch Latin American Fund	$1 - $1,000	CAPITAL GAINS	$5,001 - $15,000	
Nicolas Applegate Core Growth	$15,001 - $50,000	INTEREST	$2,501 - $5,000	

SCHEDULE IV - TRANSACTIONS

Name Gregory W. Meeks

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	NONE			

SCHEDULE V - LIABILITIES

Name Gregory W. Meeks

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liabillty	Amount of Liability
	N/A		

SCHEDULE VI - GIFTS

Name Gregory W. Meeks

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
NONE		

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Gregory W. Meeks

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Chinese Nat. Assoc. Of Industry & Commerce	Jan. 8-13	NY-San. Francisco-Taipei-NY	Y	Y	Y	No
Information Tech. Industry Council	April 26-29	Wash, DC-Dallas/Ft. Worth-Wash,DC	Y	Y	Y	No
Stop the Bombing of Vieques Legal Defense Fund	May 28	NY-San Juan-NY	N	N	N	N/A
CBC Policy & Leadership Institute	June 8-11	Wash, DC-Charleston, SC-NY	Y	Y	Y	No
American Petroleum Institute	June 29-July 1	NY-Houston, TX-NY	Y	Y	Y	No
Stop the Bombing of Vieques Legal Defense Fund	July 5-6	NY-San Juan-NY	Y	Y	N	No
Todo Puerto Rico con Vieques	July 13-16	Wash, DC-San Juan-NY	Y	Y	Y	No
Horizons Marketing Group Intn., Inc.	Sept. 4-5	NH-Miami-Wash, DC	Y	Y	N	No
British Airways	Nov. 5-7	NY-London-NY	Y	N	N	Yes

SCHEDULE VIII - POSITIONS

Name Gregory W. Meeks

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NONE	

SCHEDULE IX - AGREEMENTS

Name	10 of 10
Gregory W. Meeks	

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

ROBERT MENENDEZ
13TH DISTRICT, NEW JERSEY
VICE CHAIR OF THE DEMOCRATIC CAUCUS

COMMITTEE ON TRANSPORTATION AND INFRASTRUCTURE
SUBCOMMITTEES:
AVIATION
WATER RESOURCES AND ENVIRONMENT

COMMITTEE ON INTERNATIONAL RELATIONS
SUBCOMMITTEES:
WESTERN HEMISPHERE, RANKING MEMBER
INTERNATIONAL OPERATIONS AND HUMAN RIGHTS

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:27
OFFICE OF THE CLERK
HOUSE OF REPRESENTATIVES

Congress of the United States
House of Representatives
Washington, DC 20515-3013

REPLY TO:
2338 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515-3013
(202) 225-7919

DISTRICT OFFICES:
911 BERGEN AVENUE
JERSEY CITY, NJ 07306
(201) 222-2828

654 ROUTE 9
BERGENS, NJ 07024
(201) 653-2900

263 HOBART STREET
PERTH AMBOY, NJ 08861
(732) 324-6315

3100 EXCHANGE AVENUE
2ND FLOOR
UNION CITY, NJ 07087
(201) 558-0600

E-mail: menendez@mail.house.gov
Web site: http://menendez.house.gov

May 14, 2002

Mr. Jeff Trandahl
Clerk of the House
H-154 Capitol
Washington, DC 20515

MC

Dear Mr. Trandahl:

It has come to my attention that, although I had not previously listed my wife's State of New Jersey Pension on my financial disclosure statements, it should have been reported. She was vested in 1984, however, she is still working and therefore is not collecting a pension. It should have been listed on Schedule III as State of NJ Pension with no year-end value for those years and there was no income.

Also, last year my Prudential Money Market funds were listed as just Money Market funds. Please make note that they are one in the same.

If you require additional information, please contact Judi Wolford at 202-225-7919.

Sincerely,

Robert Menendez
Member of Congress

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:26
(Office Use Only)
CLERK, HOUSE OF REPRESENTATIVES

Robert Menendez
(Full Name)

517 15th Street Union City, NJ 07087
(Mailing Address)

202-225-7919
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: NJ District: 13	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15) ☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☑ No ☐
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/02

3242

SCHEDULE I - EARNED INCOME

Name Robert Menendez

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Union City Board of Education	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert Menendez

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in th s block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	1806 West St. - Union City, Nj	$100,001 - $250,000	RENT	$15,001 - $50,000	
JT	535 41st St. - Union City, NJ	$250,001 - $500,000	RENT	$15,001 - $50,000	
JT	Hamilton Savings Bank - Savings	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Hamilton Savings Bank - Checking	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Congressional Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Fidelity Growth IRA (403)	$100,001 - $250,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert Menendez

JT	Advanced Micro Dev	$1,001 - $15,000		NONE	
DC	AOL Time Warner	$1 - $1,000		NONE	
JT	AT&T	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	AT&T Wireless	$1,001 - $15,000		NONE	
JT	Bank One	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Compaq Computer	$1,001 - $15,000			S
DC	Global Crossing	$1 - $1,000		NONE	
JT	Global Crossing	$1 - $1,000		NONE	
DC	Hudson United Bank	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Information Architects	less than $1,000			S
JT	Intel	$1,001 - $15,000		NONE	
JT	Kimberly Clark	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Maytag	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Merck & Co.	$15,001 - $50,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert Menendez

JT	Morgan Stanley & Co.	$15,001 - $50,000	DIVIDENDS	$1 - $200	
JT	Motorola	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	National Semicon	$1,001 - $15,000		NONE	
DC	Network Appliance Inc.	$1,001 - $15,000		NONE	
DC	Nicholas Applegate Growth Fund	$1,001 - $15,000		NONE	
DC	Pepsico	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Pfizer	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Prudential Jennison Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Prudential Pacific Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Prudential Tech Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Pruduential Money Mkt funds	$1,001 - $15,000	INTEREST	$1 - $200	
DC	PSE&G	$1,001 - $15,000		NONE	
JT	Sentex Tech	$1 - $1,000		NONE	
JT	Spanish Broadcasting System	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert Menendez

DC	Tricon Global	$1,001 - $15,000		NONE	
JT	Vitesse Semiconductor Corp	$1,001 - $15,000		NONE	
JT	Xetel	$1,001 - $15,000		NONE	
DC	Zenith Corp	None		NONE	
SP	Oppenheimer IRA - 403	$15,001 - $50,000		NONE	
SP	Oppenheimer IRA - 403	$15,001 - $50,000		NONE	
DC	Walt Disney	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	Walt Disney	less than $1,000			S
SP	State of NJ Pension		Indefinite		
	State of NJ Pension		Indefinite		

SCHEDULE IV - TRANSACTIONS

Name Robert Menendez

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	Prudential Tech Fund	P	05-16-01	$1,001 - $15,000
DC	America On Line is now AOL Time Warner	E	01-16-01	$1,001 - $15,000
DC	Compaq Computer	S	01-13-01	$1,001 - $15,000
JT	Global Crossing	P	11-26-01	less than $1,000
JT	Information Architects	S	01-03-01	less than $1,000
DC	Prudential Jennison Fund (partial sale)	S	12-27-01	$1,001 - $15,000
JT	Walt Disney Group	S	01-03-01	less than $1,000
DC	Walt Disney Group Internet for Walt Disney Group	E	03-21-01	less than $1,000
DC	PSE&G (partial sale)	S	08-07-01	$1,001 - $15,000
JT	AT&T Wireless (spinoff for AT&T stock holders)		07-12-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Robert Menendez

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Hamilton Savings Bank	Mortgage on 41st Street- Union City, NJ	$100,001 - $250,000
JT	New Jersey State Pension	Loan	*now less than $10,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Robert Menendez

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Assoc of Airport Executives	Jan 7-11	Newark, NJ--Honolulu, HI--Maui, HI--Newark, NJ	Y	Y	N	N/A
US-Mexico Chamber of Commerce	Feb 17-20	Newark, NJ--Mexico City--McAllen, TX	Y	Y	Y	N/A
Congressional Hispanic Caucus Institute	Feb 21-24	McAllen, TX--Newark, NJ	Y	Y	Y	N/A
Harvard Law School	April 7-8	Newark, NJ--Boston, MA--Newark, NJ	Y	N	N	N/A
US Hispanic Leadership Institute	Sept 29	Newark, NJ--Chicago, IL--Newark, NJ	N	N	N	N/A

SCHEDULE IX - AGREEMENTS

Name Robert Menendez

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
5-10-93	Henry Furst, Esq	Buyout of law practice & deferred compensation for legal services prior to entering Congress. No payment received since March, 1999.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

John L. Mica
(Full Name)

2195 Via Tuscany Winter Park, FL 32789
(Mailing Address)

202-225-4035
Daytime Telephone.

Filer Status: [x] Member of the U.S. House of Representatives — State: FL — District: 07 | [ ] Officer Or Employee — Employing Office: — Termination Date:

Report Type: [x] Annual (May 15) | [ ] Amendment | [ ] Termination

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes [x] No [ ]
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes [ ] No [x]
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes [x] No [ ]
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes [ ] No [x]
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes [x] No [ ]
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes [x] No [ ]
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes [ ] No [x]
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes [ ] No [x]

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes [ ] No [x]

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilful y fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

3252

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name John L. Mica

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Politically Incorrect/ABC TV Los Angeles, CA	Appearance	Aug. 20 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John L. Mica

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	15 3rd St, NE Wash. DC, Units 2,4,5 & two garage units	$250,001 - $500,000	RENT	$5,001 - $15,000	
	305 E Capitol St. SE Washington DC 50% interest, rental unit	$100,001 - $250,000	RENT	$5,001 - $15,000	
	Park Lake Woods, Condo Rental, units 8B, 9B, Maitland, FL	$100,001 - $250,000	RENT	$5,001 - $15,000	
	2195 Via Tuscany, Winter Park FL	$500,001 - $1,000,000	None, personal residence	NONE	
	Lot 21, Chetola Estates, Blowing Rock, NC	$100,001 - $250,000	None, personal residence	NONE	
	1305 S. Atlantic Ave, Unit 130, Cocoa Beach, FL	$100,001 - $250,000	RENT	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John L. Mica

	U.S. Senate Federal Credit Union	$15,001 - $50,000	INTEREST	$1 - $200	
	Wright Patman Congressional Credit Union	$1 - $1,000	INTEREST	$1 - $200	
	Metropolitan Life (IRA)	$100,001 - $250,000	INTEREST	NONE	
	Townhouse lots, 9,10,11,12, Temple Trail Village Subdivision, Winter Park	$100,001 - $250,000	None	NONE	
	Wachovia Bank, Winter Park, FL Accounts	$50,001 - $100,000	INTEREST	$5,001 - $15,000	
	Southern Community Bank, Winter Park, FL, Accounts	$500,001 - $1,000,000	INTEREST	$50,001 - $100,000	

SCHEDULE V - LIABILITIES

Name John L. Mica

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	American Savings Bank	Mortgage on Units 8B & 9B, Park Lake Woods Condominium	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John L. Mica

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute-BiPartisan Cong Retreat	Mar 9-11	Wash., DC--White Sulpher Springs, VA--Wash., DC	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name John L. Mica

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Executor	Estate of Anna Mica, Binghamton, N.Y.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Congresswoman Juanita Millender McDonald
(Full Name)

125 Cannon House Office Building
(Mailing Address)

Daytime Telephone:
(202) 225-7924

Washington, DC 20515

Filer Status	[x] Member of the U.S. House of Representatives — State: CA District: 37	[ ] Officer or Employee	Employing Office:
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [x]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [x]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [x]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [x]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [x]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [x]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [x]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [x]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefitting you, your spouse, or dependent child?	Yes [ ]	No [ ]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Juanita Millender McDonald	5-15-02

3259

Name	Congresswoman Juanita Millender McDonald	Page 3 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Los Angeles County (Retired 3/28/97)	spouse's retirement income	n/a
	Roofing Consultant	spouse's consulting fee	n/a

For payments to charity in lieu of honoraria, use Schedule II.

Name	Congresswoman Juanita Millender McDonald	Page 3 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
"Politically Incorrect" / ABC	Appearance on television show	Feb. 5, 2001	$500

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Name: Congresswoman Juanita Millender McDonald

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
DC, JT	*Examples:* Simon & Schuster			Indefinite																Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
JT	Chatfield, Dean & Co., Ltd. Partnership Interest	X																			X											S*
JT	Don Roberts Racing Stable (formerly Mark Johnson)				X												X								X							
JT	The Fox Group/Century Prop. Accounts				X																X											

*Dissolved in 2001; no income received.

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name: Congresswoman Juanita Millender McDonald

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	Los Angeles Teachers Credit Union Accounts	D	INTEREST	III	
	Holden Group Deferred Comp. Account	F		I	
SP	County Employees Credit Union Accounts	F	INTEREST	VI	
	United Mutual Funds	F		I	
SP	2nd Baptist Credit Union Accounts	C	INTEREST	II	
JT	US Savings Bonds	D		I	
	Thrift Savings Plan 401(k) Account	E		I	
	Union Bank Accounts	D	INTEREST	IV	
SP	Horizons Deferred Comp. Account	F	INTEREST	VI	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Congresswoman Juanita Millender McDonald

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Bank of America Accounts			x																	x											
JT	850-856 W. 129th Street, Gardena, CA (Rental)							x							x										x							
JT	1236 W. 64th Street, Los Angeles, CA						x														x											
JT	803 N. Grandee Compton, CA (Rental)						x								x										x							
JT	Unimproved land near Lancaster, CA						x														x											
	225B "C" Street Washington, DC						x														x											

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Name

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								

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Name	Congresswoman Juanita Millender McDonald	Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Chase Manhattan Mortgage Co. Columbus, Ohio (formerly Mellon Mortgage)	Mortgage on 225B "C" Street Washington, DC				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
None							

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Name	Congresswoman Juanita Millender McDonald	Page 10 of 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	Harbor College Foundation (noncompensated position)
Member, Board of Directors	Southern Christian Leadership Conference (noncompensated position)
Member, Board of Commission	National Commission on Teaching and America's Future (noncompensated position)
Executive Director	League of African American Women (non-profit 501(c)(3)) (noncompensated position)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (rev)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

HC

(16)

Dan Miller
(Full Name)

102 Cannon HOB Washington, DC 20515
(Mailing Address)

202-225-5015
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: FL District: 13	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Dan Miller	5/14/02

3269

SCHEDULE I - EARNED INCOME

Name Dan Miller

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Kathryn Polk Darsey Trust	Trustee Fee	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	210 acres Louisiana East Feliciana Parish	$500,001 - $1,000,000	Rent	$2,501 - $5,000	
	AES Corporation	None	CAPITAL GAINS	$201 - $1,000	S
	AFLAC Inc	$15,001 - $50,000	Dividends	$201 - $1,000	S
	Agilent Technologies Inc.	None		NONE	S
	American Bank	$1,001 - $15,000		NONE	
	American Express Co	$15,001 - $50,000	Dividends	$1 - $200	P

3271

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

	American General Cap Preferred Stock	None	Interest	$201 - $1,000	S
	American International Group	$50,001 - $100,000	Dividends	$1 - $200	
	American Power Conversion Corp	None		NONE	S
	Amgen	$15,001 - $50,000		NONE	P
	Anheuser-Bush Co	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	AT&T notes	$15,001 - $50,000	Interest	$1,001 - $2,500	
	Automatic Data Processing	$1 - $1,000	Dividends/CAPITAL GAINS	$15,001 - $50,000	S
	Banc One Corp	$250,001 - $500,000	Dividends	$5,001 - $15,000	
	Bank of America	$50,001 - $100,000	Interest	$201 - $1,000	
	Bank of New York, Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Biogen Inc.	$15,001 - $50,000		NONE	P
	Calpine Corp.	None		NONE	PS
	Cardinal Health, Inc.	None		$1 - $200	S
	Cisco Systems Inc	$15,001 - $50,000		NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

	Citibank Bank Deposit Program (Formerly Smith-Barney Money Fund)	$50,001 - $100,000	INTEREST	$201 - $1,000	
	Citigroup, Inc	$50,001 - $100,000	Dividends/CAPITAL GAINS	$1,001 - $2,500	
	Coastal Corp became El Paso Corp	None	CAPITAL GAINS	$2,501 - $5,000	S
	Colgate Palmolive	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Computer Sciences	None		NONE	S
	Congressional Credit Union	$1 - $1,000	Interest	$1 - $200	
	Consolidated Edison Pfd	$1,001 - $15,000	Interest	$201 - $1,000	
	Don Miller Development Corp	$250,001 - $500,000	Dividends/CAPITAL GAINS	$15,001 - $50,000	
	Duke Capital	$1,001 - $15,000	INTEREST	$201 - $1,000	
	E Paso Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	PS
	Electronic Data System	$50,001 - $100,000	Dividends	$201 - $1,000	
	EMC Corp-Mass	None	CAPITAL GAINS	NONE	S
	Fannie Mae	$15,001 - $50,000	Dividends	$201 - $1,000	
	Fed Home Loan Bank notes	$15,001 - $50,000	Interest	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

	Federal National Mortgage	None	Interest	$1,001 - $2,500	S
	First Data	$15,001 - $50,000	Dividends	$1 - $200	S
	Franklin Resources, Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P
	Franklin Small Cap Growth (Formerly Franklin Strategic Mutual Fund)	$15,001 - $50,000	Capital Gains and Dividends	NONE	
	General Electric	$50,001 - $100,000	Dividends	$201 - $1,000	S
	General Motors Bonds	$1,001 - $15,000	INTEREST	$201 - $1,000	P
	GlaxoSmith Kline ADR (formerly Smith Kline Beecham)	$15,001 - $50,000	Dividends	$201 - $1,000	S
	Home Depot	$50,001 - $100,000	Dividends	$201 - $1,000	
	IBM notes	$15,001 - $50,000	Interest	$1,001 - $2,500	
	Intel Corp	$50,001 - $100,000	Dividends	$1 - $200	P
	Lilly Eli & Co	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	P
	Lucent Technologies	None	Dividends	NONE	S
	Manatech Plastics, Inc.	$1 - $1,000	Dividends/CAPITAL GAINS	$5,001 - $15,000	
	McDonalds	None	Dividends	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

	McGraw-Hill Inc.	$15,001 - $50,000	Other: (Please specify)	$201 - $1,000	P
	Medtronic Inc	None	Dividends/CAPITAL GAINS	$2,501 - $5,000	S
	Microsoft Corp.	$15,001 - $50,000		NONE	P
	Miller Brothers of Manatee(Courtyard was sold in 1999)	$1 - $1,000	Capital Gains and Dividends	NONE	
	Miller Enterprises of Manatee(Suncoast Manor was sold in 1999)	$5,000,001 - $25,000,000	Dividends/INTEREST/CAPITAL GAINS	$50,001 - $100,000	
	Millers Pier Corp	$500,001 - $1,000,000		NONE	
	Motorola Inc.	None		NONE	S
	Mutual Series Mutual Discovery	$15,001 - $50,000	Capital Gains and Dividends	$201 - $1,000	
	Nortel Networks Corporation	None	DIVIDENDS	NONE	S
	Ocean Dreams, Inc	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
	Oracle Corp	$50,001 - $100,000	CAPITAL GAINS	NONE	
	Oramental Production	$1,001 - $15,000		NONE	
	Pfizer Inc	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Prime Fund Cap Reserves (Brookstreet Money Market)	$15,001 - $50,000	Interest	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

	Putman Cap Mutual Fund	$50,001 - $100,000	Capital Gains and Dividends	NONE	
	Putman New Op Mutual Fund	$50,001 - $100,000	CAPITAL GAINS	NONE	
	Schlumberger Ltd	$15,001 - $50,000	Dividends	$201 - $1,000	P
	Schwab FL Muni Money Fund	$100,001 - $250,000	INTEREST	$1,001 - $2,500	
	Schwab Money Market Fund	$1,001 - $15,000	INTEREST	$1 - $200	
	Schwab One Money Market	$15,001 - $50,000	Interest	$201 - $1,000	
	Sears Roebuck Accep Corp	$15,001 - $50,000	Interest	$1,001 - $2,500	
	Sears Roebuck Accep Corp Pfd	$1,001 - $15,000	Interest	$201 - $1,000	
	Segrest-Miller Corp.	$1,000,001 - $5,000,000	Dividends/INTEREST	$100,001 - $1,000,000	
	Seligman Henderson Global Tech	$15,001 - $50,000	Capital Gains	NONE	
	St Louis Revenue Bonds	$15,001 - $50,000	Interest	$1,001 - $2,500	
	Stryker Corp	$50,001 - $100,000	Dividends	$1 - $200	S
	Suncoast Deliveries, Inc	$1 - $1,000		$5,001 - $15,000	
	Suncoast of Manatee, Inc (Installment sale)	$50,001 - $100,000	INTEREST/CAPITAL GAINS	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dan Miller

SunTrust Bank	$1,001 - $15,000	Interest	$1 - $200	
T X U Capital II	$1,001 - $15,000	INTEREST	$201 - $1,000	P
Texas Instruments Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Tidewater, Inc.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
Travelers Property Casualty Corp	$1,001 - $15,000	Interest	$201 - $1,000	
U.S. Treasury Note	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
United Technologies	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
Wachovia Corp notes	$1,001 - $15,000	Interest	$201 - $1,000	
Wal Mart Stores Inc.	$50,001 - $100,000	Dividends	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Dan Miller

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Ocean Dreams, Inc New company affiliated with Segrest-Miller Corp	Other	1/01	$1,001 - $15,000
	Oramental Production New company affiliated with Segrest-Miller Corp	Other	1/01	$1,001 - $15,000
	Anheuser-Bush Co	P	6/7/02	$15,001 - $50,000
	Bank of New York, Inc.	P	5/4/02; 5/16/02	$15,001 - $50,000
	Biogen Inc.	P	6/21/02	$15,001 - $50,000
	Colgate Palmolive	P	6/7/02	$15,001 - $50,000
	El Paso Corp	P	5/4/02	$1,001 - $15,000
	Franklin Resources, Inc.	P	5/4/02;5/10/02	$15,001 - $50,000
	GlaxoSmithKline ADR	S	1/2/01; 5/11/01	$1,001 - $15,000
	Microsoft Corp.	P	5/18/02	$15,001 - $50,000
	Tidewater, Inc.	P	5/21/02	$15,001 - $50,000
	United Technologies	P	5/4/02;5/10/02	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Dan Miller

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	T X U Capital II	P	8/1/02	$1,001 - $15,000
	General Motors Bonds	P	2/21/02	$1,001 - $15,000
	American Express Co.	P	5/4/01; 5/10/01	$1,001 - $15,000
	Amgen	P	5/4/01; 5/10.01	$15,001 - $50,000
	Calpine Corp.	PS	5/4/01; 5/10.01;6/6/01	$50,001 - $100,000
	Disney (Walt) Holding Co.	PS	5/4/01; 5/11/01; 11/29/01	$15,001 - $50,000
	Gap Inc.	PS	5/4/01; 5/10/01;9/27/01; 11/27/01	$15,001 - $50,000
	Intel Corp	P	5/11/01	$1,001 - $15,000
	Lilly Eli & Co.	P	5/4/01	$1,001 - $15,000
	McGraw-Hill Inc.	P	5/4/01; 5/10/01	$15,001 - $50,000
	Nabors Industries	PS	5/4/01; 5/11/01;11/27/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Dan Miller

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Pfizer Inc	P	5/4/01	$1,001 - $15,000
	Schlumberger Ltd.	P	5/4/01; 5/10/01	$1,001 - $15,000
	Texas Instruments Inc.	P	5/4/01; 5/1/01	$1,001 - $15,000
	AES Corporation	S	5/15/01	$15,001 - $50,000
	AFLAC Inc.	S	4/12/01; 5/4/01; 5/11/01	$15,001 - $50,000
	Agilent Technologies	S	6/5/01	$15,001 - $50,000
	American General Cap	S	7/31/01	$1,001 - $15,000
	American Power Conversion Corp.	S	2/2/01	$15,001 - $50,000
	Auto Data Processing	S	2/28/01; 3/9/01	$15,001 - $50,000
	Cardinal Health, Inc.	S	5/11/01	$15,001 - $50,000
	Cisco Systems, Inc.	S	9/27/01; 11/29/01	$15,001 - $50,000
	Computer Sciences	S	2/6/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Dan Miller

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	EMC Corp-Mass	S	11/27/01	$15,001 - $50,000
	El Paso Energy Corp. Formerly Coastal Corp	PS	2/1/01; 4/10/01; 4/16/01; 5/11/01;5/4/01	$15,001 - $50,000
	Federal National Mortgage Association	S	2/15/01; 10/11/01; 11/20/01	$15,001 - $50,000
	First Data	S	5/11/01	$15,001 - $50,000
	General Electric Cco.	S	5/10/01	$1,001 - $15,000
	Lucent Technologies	S	2/6/01	$1,001 - $15,000
	McDATA Corp. This was a spin off of EMC Corp	S	2/7/01; 2/13/01	$1,001 - $15,000
	McDonalds Corp.	S	3/27/01	$1,001 - $15,000
	Medtronic Inc.	S	5/4/01	$15,001 - $50,000
	Motorola	S	1/30/01	$15,001 - $50,000
	Nortel Networks Corporation	S	5/8/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Dan Miller

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Stryker Corp.	S	4/10/01; 4/16/01; 5/4/01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Dan Miller

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
US - Asia Foundation	June 29 - July 9	Wash., D.C. - China - Thailand - Wash., D.C.	Y	Y	Y	2 Days

SCHEDULE VIII - POSITIONS...

Name Dan Miller

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Miller Enterprises
Director	Miller Brothers
Director	Don Miller Development
Director	Miller's Pier
Director	Segrest-Miller Corp
Director	Manatech Plastics

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(13)

LEGISLATIVE RESOURCE CENTER

2002 MAY -8 AM 10:46

MC

CLERK OF THE HOUSE OF REPRESENTATIVES

For Office Use Only

Gary G. Miller
(Full Name)

721 S. Brea Canyon Road, Suite 7
(Mailing Address)

Diamond Bar, California 91789

Daytime Telephone: Cathleen Miller 909 444-1761

Filer Status	[x] Member of the U.S. House of Representatives — State: California District: 41st	[ ] Officer or Employee	Employing Office:
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [x]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [x]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [x]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [x]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [x]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [x]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [x]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [x]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [x]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		

3285

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Gary G. Miller | Page 2 of 3

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B												Block C						Block D											Block E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock					X								X										X							P
	Examples: Simon & Schuster			indefinite																Royalties								X			
	Examples: 1st Bank of Paducah, KY accounts						X									X									X						
	IRA's Mainstay Equity Index Fund				X																"NA"										
	Hartford Intl Opportunity CL			X																	"NA"										
	Hartford Midcap Fund Class B			X																	"NA"										
	Cisco Systems INC			X																	X										
	Sprint Corp			X										X								X									

For additional assets and unearned income, use next page.

3286

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gary G. Miller

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	SEP IRA				
	Edward Jones Money Market	C	DIVIDENDS	II	
	Bank of America Corp	C	DIVIDENDS	III	
	General Electric Co.	C	DIVIDENDS	III	
	Gillette Co.	C	DIVIDENDS	II	
	Home Depot Inc.	C	DIVIDENDS	II	
	Intel Corp.	C	DIVIDENDS	II	
	Microsoft Corp	D	DIVIDENDS	II	
	Motorola Inc.	C	DIVIDENDS	II	
	Sprint Corp Fon Group	C	DIVIDENDS	II	
SP	IRA's				
	Mainstay Equity Index Fund	C		"NA"	
	Hartford Intl Opportunity C	1B C		"NA"	
	Hartford Midcap Fund Class	B C		"NA"	
SP	SEP IRA's				
	Edward Jones Money Market	B	DIVIDENDS	II	
	Hartford Dividend & Growth	B D	DIVIDENDS	II	

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gary G. Miller

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	Bank of America	F	INTEREST	II	
	Quaker City Bank	H	INTEREST	VIII	
	Pomona First Federal	I	INTEREST	VIII	
	Fidelity Federal	B	INTEREST	II	
	IndyMac Bank	G	INTEREST	VII	
	Southern Pacific Bank	G	INTEREST	VII	
	Anchor National Life Ins.Co.	C			
	Edward Jones MoneyMarket	C	INTEREST	II	
	Target Corp.	D	DIVIDENDS	III	
	Investment Co of America Cl	E	DIVIDENDS; CAPITAL GAINS	III	
	Foothill/Eastern Transn	D	CAPITAL GAINS	IV	
	Corridor Agy CA MuniBond				
	Calif. Statewide CMNTYS	D	CAPITAL GAINS	IV	
	DEV Auth Wtr & Wastewater Munf Bond	REV			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gary G. Miller

SP. OC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P S E
	APN 239 193 aa Vacant Land Industrial 5 acres in Rialto, CA								X												X											
	Lot 15 Tract #23483 Diamond Bar, CA Improved residential 1+ Acre								X												X											
	Lot 16 Tract #23483 Diamond Bar, CA Improved residential 1+ Acre								X												X											
	APN 8503 003 006 Vacant Land 88+ Acre in Monrovia, CA										X									Option Pmt							X					
	APN 8503 015 005 Vacant Land 2.53 Acre in Monrovia, CA							X													X											
	APN 8501 009 008 Vacant Land 75 Acres in Monrovia, CA										X									Option Pmt							X					
	Havadjia Holding, Inc;Riverside, CA Note secured by Deed of Trust								X							X											X					
	G. Miller Development Co. Common Stock								X												X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gary G. Miller

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
JT	Stock Holdings:																															
	American Airlines				X																X											P
	General Electric Co				X									X								X										P
	United Airlines Corp				X																X											P
	Citibank Bank Deposit Program		X																		X											
	SB Money Fds Cash Port CL A				X									X									X									
	AT & T Wireless Services			X																	X											P
	Amgen Inc			X													X								X							S P
	Duke Energy Corp			X										X								X										P
	Emerson Electric Co			X										X								X										P
	Exxon Mobil Corp			X										X								X										
	Franklin Resources Inc			X										X								X										P
	Home Depot Inc			X										X								X										P
	Host Marriott Corp New			X										X								X										P
	Ingersoll Rand Co			X										X								X										P
	Intel Corp			X										X								X										P
	Intl Business Machines Corp			X										X			X						X									S
	Kraft Foods Inc Class A			X										X								X										P
	Lincoln National Corp-Ind-			X										X								X										
	Medtronic Inc			X										X								X										P
	Microsoft Corp			X																	X											

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3290

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

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SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Oracle Corp			X																	X											P
	Parker-Hannifin Corp			X										X								X										P
	Progress Energy Inc			X										X								X										P
	Tyco International LTD			X										X								X										
	United Parcel Service CL B			X										X								X										
	Wal-Mart Stores			X										X			X							X								S
	Washington Mutual Inc			X										X			X								X							SP
	Williams Cos Inc			X										X								X										P
	XO Communications Inc CL A				X																X											P
	Ace Ltd ORD SHS	X															X						X									PS
	Alcoa Inc	X												X			X							X								PS
	Allmerica Financial	X																			X											S
	Bank One Corp Com	X												X			X						X									S
	Canadian Natl Railway Co	X												X			X						X									PS
	Equity Office Properties TR	X												X								X										S
	Ford Motor Company	X												X								X										PS
	Genzyme Corp	X															X						X									S
	Hewlett Packard Co	X												X			X						X									S
	Honeywell Intl Inc	X												X								X										PS
	International Paper Co	X												X			X						X									S
	JP Morgan Chase & Co	X												X								X										PS
	Kellogg Co	X												X			X							X								S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gary G. Miller

BLOCK A Asset and/or Income Source (SP, DC, JT)	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction (P, S, E)
Ralston Purina Group	X															X							X								S
Safeway Inc New	X															X					X										S

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Name Gary G. Miller | Page 9 of 13

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	AT & T Wireless Services Inc	X			02-01-01	X									
		X			11-30-01	X									
	Amgen Inc	X			3-20-01	X									
		X			4-04-01	X									
	Duke Energy Corp	X			10-05-01	X									
	Emerson Electric Co	X			2-07-01	X									
		X			8-01-01	X									
	Franklin Resources Inc	X			1-24-01	X									
	Home Depot Inc	X			12-20-01	X									
	Host Marriott Corp New	X			5-24-01	X									
	Ingersoll Rand Co	X			4-10-01	X									
	Intel Corp	X			2-18-01	X									
	Kraft Foods Inc Class A	X			8-06-01	X									
	Medtronic Inc	X			11-30-01	X									
	Oracle Corp	X			7-26-01	X									
	Parker-Hannifin Corp	X			2-15-01	X									
	Progress Energy Inc	X			8-15-01	X									
	Washington Mutual	X			8-30-01	X									
	Williams Cos Inc	X			11-16-01	X									
		X			12-19-01	X									
	XO Communications Inc CL A	X			4-20-01	X									
		X			10-18-01	X									

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SCHEDULE IV — TRANSACTIONS

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SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
all JT	AMR CORP-American Airlines	X			11/05/01		X								
	General Electric Co	X			09/17/01		X								
	UAL Corp-United Airlines	X			11/05/01		X								
	Ace Ltd ORd SHS	X	X		10/25/01 11/29/01	X									
	Alcoa Inc	X	X		01/05/01 07/11/01	X									
	Canadian Natl Railway Co	X	X		01/31/01 11/14/01	X									
	Enron Corp	X	X		10/05/01 10/22/01	X									
	Ford Motor Company Par	X	X		06/11/01 10/18/01	X									
	Genzyme Corp	X	X		11-17-00 04/06/01	X									
	Honeywell Intl Inc	X	X		6/15/01 10/05/01	X									
	International Paper Co	X	X		9-19-00 03/23/01	X									
	JP Morgan Chase & Co	X	X		03/08/01 08/30/01	X									
	Kellogg Co	X	X		02/14/00 02/07/01	X									
	Nokia Corp Sponsored ADR	X	X		06/19/00 02/07/01	X									
	Ralston Purina Group	X	X		09/19/00 01/30/01	X									
	Allmerica Financial Corp	X	X		05/15/00 10/05/01	X									

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3294

Name Gary C. Miller | Page 11 of 13

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

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SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Amgen Inc	X			03/29/99										
			X		01/22/01	X									
	Amgen Inc	X			05/11/99										
			X		01/23/01	X									
	Bank One Corp Com	X			03/28/00										
			X		06/07/01	X									
	Equity Office Properties TR	X			08/09/00										
			X		10/22/01	X									
	Hewlett Packard Co	X			09/29/98										
			X		01/18/01	X									
	Intl Business Machines Corp	X			11/12/99										
			X		12/11/01	X									
	Kellogg Co	X			02/14/00										
			X		07/02/01	X									
	Safeway Inc New	X			02/11/99										
		X			09/30/99	X									
			X		07/11/01	X									
	Wal-Mart Stores Inc	X			09/29/98										
			X		11/14/01	X									
	Washington Mutual Inc	X			08/26/99										
			X		01/04/01	X									
	Washington Mutual Inc	X			08/26/99	X									
		X			09/23/99	X									
		X			12/16/99	X									
			X		01/22/01	X									
	Nokia Corp Sponsored Adr	X			06/23/00	X									
		X			06/28/00	X									
		X			08/25/00	X									
			X		02/07/01	X									

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Name Gary G. Miller | Page 12 of 13

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	First Card USA	credit card	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	G. Miller Development Co. (Corp)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service, continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2000 62-753 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 21 PM 1:16
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

(1)

Gary G. Miller
(Full Name)
721 S. Brea Canyon Rd, Suite 7
(Mailing Address)
Diamond Bar, CA 91789
Daytime Telephone 909-612-4677

Filer Status	[X] Member of the U.S. House of Representatives — State CA District 41	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**		X
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**		X
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	X	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	X	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	X	
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**		X
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**		X
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	X	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**		X

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/21/02

3298

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12:43
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(5)

HC

George Miller
(Full Name)

2205 Rayburn House Office Building
(Mailing Address)

Washington, DC 20515

202-225-2095
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: California District: 7	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	George Miller	5.14.02

3299

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
SP, DC, JT	SP Mega Corp Stock (Examples)	A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS: X	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
	Simon & Schuster	Indefinite	Royalties		
	1st Bank of Paducah, KY accounts	F $100,001 - $250,000: X	INTEREST: X	VI $5,001 - $15,000: X	
	127 D St., SE, Wash., DC	G $250,001 - $500,000: X	RENT: X	VII $15,001 - $50,000: X	
JT	2002 Greene St., Apt. 412, Columbia, SC (half interest)	E $50,001 - $100,000: X	RENT: X	I None: X	
	IRA Acct. - Charles Schwab Co.	C $1,001 - $15,000: X	DIVIDENDS: X; CAPITAL GAINS: X	IV $1,001 - $2,500: X	
SP	IRA Acct. - Charles Schwab Co.	C $1,001 - $15,000: X	DIVIDENDS: X; CAPITAL GAINS: X	IV $1,001 - $2,500: X	
	Cong. Fed. Credit Union Savings Acct., Wash., DC ~~from refinance of 127 D St.~~	C $1,001 - $15,000: X	INTEREST: X	II $201 - $1,000: X	
	CD interest Plus Savings Acct - transfer from ~~Cong. Fed. Credit Union~~	C $1,001 - $15,000: X	INTEREST: X	IV $1,001 - $2,500: X	

For additional assets and unearned income, use next page.

3300

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name George Miller

Page 3 of 5

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	T. Rowe Price Media & Telecom - 232 shares			X													X					X										
	Stock Fund, S.I.P.C. Trust Walnut Creek, CA (IRA)				X									X										X								
SP	Citicorp			X																	X											
SP	EMC Corp			X																	X											
	Investec Wired Index Fund			X																	X											
SP	Tipco Software - 125 shares			X																	X											
	Oracle - 75 shares			X																	X											

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3301

Name George Miller | Page 4 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Security Mortgage Co., Columbia, SC	mortgage on 2002 Greene St., Apt. 412, Columbia, SC			X							
	General Electric Capital Mortgage St. Louis, Missouri (refinance)	mortgage on 127 D.St., SE Wash., DC				X						
JT	Cong. Fed. Credit Union - Home Equity	home equity on 127 D St., SE Wash., DC		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name George Miller | Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
(Conference on US Policy toward Cuba) The Aspen Institute	Jan. 12-17	Wash., DC-Grand Caymen Is. SF	Y	Y	Y	N
AFL-CIO (American Federation of Labor)	Feb. 12-13	SF-LA-DC	Y	Y	N	N
The Aspen Institute (Conference on Education)	Feb. 16-19	Wash., DC-Tampa, FL	Y	Y	N	N
The Aspen Institute (Conf. on Global Environment)	May 26 - June 3	Wash., DC-Florence, Italy-Wash., DC	Y	Y	Y	2 days
The Aspen Institute (Conf. on US-Russia Relations)	Aug. 11-26	SF-Helsinki-SF	Y	Y	Y	N
Hubbard Museum of the American West/ Fort Stanton Inc. (a 501(c)(3)	Sept. 21-23	Wash., DC-El Paso-Oakland, CA	N	N	N	1 day
Liz Claiborne & Art Ortenberg Foundation	Oct. 18-21	Wash., DC-Billings, MT-Wash., DC	Y	Y	N	N
Land, Hansen, O'Malley & Miller	Nov. 4-5	SF-Palm Springs SF	Y	Y	N	N
Mondale Lectures on Public Service	Nov. 18-19	SF-Minneapolis-SF	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
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2002 MAY 15 AM 10: 10
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

JEFFERSON BINGHAM MILLER
(Full Name)

2936 FOX POND TRAIL
(Mailing Address)

850-994-5667
Daytime Telephone:

PACE, FL 32571

Filer Status	[X] Member of the U.S. House of Representatives	State: FL District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J M-J Miller	5-15-02

3304

Name Jefferson B. Miller | Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
State of Florida	legislative salary	28,500
Jeff Miller Real Estate, Inc.	commission	8,680
Bell/Miller Partnership	lot sales	130,000
State of Florida	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP, DC, JT	SP Mega Corp. Stock					X								X																		P
	Examples: Simon & Schuster		Indefinite																	Royalties				X					X			
	1st Bank of Paducah, KY accounts						X									X									X							
	Alger Small Cap			X																IRA	NA											
	Alger Cap. Apprec.			X																IRA	NA											
	Vanguard Sp. Health				X															IRA	NA											
	2.5 acres Hwy 182 Chumuckla				X																X											
	1/2 int. 3 lots Timber Ridge, Milton				X															investment income							X					S
	1/4 int. 1 lot Timber Ridge Milton			X																"					X							S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jefferson Bingham Miller

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	1/2 int. 160 acres Anderson Ln. Milton							X													X											
	first 22 acs Parker Rd. Milton				X																X											
	Brackett-Parker Rd.				X											X				contract for deed				X								
	Brunner-Malone Rd.				X											X				"				X								
	Fain-Malone Rd.				X											X				"				X								
	Garrison-Parker Rd.				X											X				"					X							
	Kurtz-Parker Rd.				X											X				"				X								
	Reichart-Malone Rd.				X											X				"					X							
	Semon-Parker Rd.			X												X				"				X								
	Semon-Parker Rd.				X											X				"				X								
	½ Reichart Parker Rd.				X											X				"				X								
	Spears-Malone Road			X																"	X											
	Regions Checking Acct				X																											
	1st Amer. Checking				X																											
	1 int. 61 acs. Melton, Milton				X												X			mortgage							X					S
	6 acs. Malone Rd.			X																	X											
	2.9 acs. Parker Rd.			X																	X											
	CH Energy-New York		X											X						stock			X									

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Name Jefferson Bingham Miller | Page 5 of 7

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	½ Int. 61 acres Munson Hwy. Milton, Fl		X		11-19 01		X								

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Name Jefferson Bingham Miller | Page 6 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Whitney Bank 101 W. Garden St. Pensacola	Timber Ridge-Milton Development Loan				X	paid	off	1-29-01			
	Steffanos Stefanou 6256 SW 26th St. Miami, Fl	mortgage 160 acres Anderson Ln. Milton				X						
	1st American Bank 33 W. Garden, Pensacola	note secured by notes receivable on schedule 3		X								
	1st American Bank 33 W. Garden, Pensacola	mortgage on 61 acres Munson Hwy, Milton		X	paid	off	11-19-01					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Jefferson B. Miller	Page 7 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Trustees	West Florida Hospital, Pensacola, Florida

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mec)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:50
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Patsy Takemoto Mink
(Full Name)

2210 Rayburn House Office Bldg
(Mailing Address)

Daytime Telephone: 202-225-4906

Washington D.C. 20515

Filer Status	[X] Member of the U.S. House of Representatives — State: Hawaii District: 2nd	[ ] Officer or Employee	Employing Office
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [X]	No [ ]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Patsy Takemoto Mink	May 15, 2002

Name: Patsy Takemoto Mink | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Patsy T. Mink, State of Hawaii Retirement System		10,000.00
	John F. Mink, Spouse V. Pres - Subchapter S Corporation Mink & Yuen Inc.	Professional	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY NONE

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
None			

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Name Patsy Takemoto Mink

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, or E
SP, DC, JT	*Examples:* Mega Corp. Stock	Incidents			P
SP	Simon & Schuster				
JT	1st Bank of Paducah, KY accounts	F			
Jt	Congressional Credit Union 96701	C	INTEREST	IV	
Jt	Central Pacific Bank 01-489569	C	checking acc't	IV	
	01-489577	C	checking acc't	IV	
Jt	Alexander & Baldwin Stocks	D	DIVIDENDS	IV	

For additional assets and unearned income, use next page.

3314

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Patsy Takemoto Mink

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTIO TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	
Jt	~~Mum~~ Morgan Stanley Acct 129105903	C		IV	
	Evergreen Muni		X		
	Putnam Tax Exempt		none		
	MSPW Tax Exempt		none		
Sp	Morgan Stanley IRA 129 175 444	E	retirement	V	
Sp	Morgan Stanley Acct 129 106553	F	retirement	VI	
Sp	Merrill Lynch IRA 145 87 A33	G	retirement	VI	
Sp	Merrill Lynch IRRA 145 87 434	C	retirement	IV	
	Central Pacific Bank 195436-7	C	retirement	III	
	Morgan Stanley IRA 129-706 26	C	retirement	III	
Sp	Equitable Life	C	X X	III	
	Prudential Life	C	none		
	Patsy T. Mink Campaign Committee	F	none		

This page may be copied if more space is required.

Name Patsy Takemoto Mink | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	None														

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	None						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Vice President	honorary / uncompensated Americans for Democratic Action

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
Jan 1987	State of Hawaii Retirement System	retirement and health benefits

GPO: 2002 77-791 (mec)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:46 (5)
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Alan B. Mollohan
(Full Name)

2346 Rayburn Building
(Mailing Address)

Washington, DC 20515

Daytime Telephone
202/225-4172

Filer Status	[X] Member of the U.S. House of Representatives	State: WV District: 1st	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Alan B. Mollohan	5/15/02

3320

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Remington, Inc.	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name: Alan B. Mollohan

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock	F $100,001 - $250,000	DIVIDENDS X	IV $1,001 - $2,500 X	P
	Simon & Schuster	Indefinite	INTEREST X; Royalties		
	1st Bank of Paducah, KY accounts	F $100,001 - $250,000		VI $5,001 - $15,000 X	
JT	Rental property - 60 G St SW, WDC 20024	G $250,001 - $500,000	RENT X	VII $15,001 - $50,000 X	
JT	4 promissory notes for property purchase: Remington, Inc.	C $1,001 - $15,000 X	INTEREST X	V $2,501 - $5,000 X	
	25% ownership -- Remington, Inc.	D $15,001 - $50,000 X	Sub S Corp. income	VII $15,001 - $50,000 X	
SP	25% ownership -- Remington, Inc.	D $15,001 - $50,000 X	Sub S Corp. income	VII $15,001 - $50,000 X	
	1/3 ownership -- MNM Holdings, LLC	F $100,001 - $250,000 X	Partnership	VI $5,001 - $15,000 X	

For additional assets and unearned income, use next page.

3322

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Alan B. Mollohan

Page 4 of 5

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income										BLOCK E Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	1/3 ownership -- D&M Investments, Inc.	X																													
	1/3 ownership --																														
SP	D&M Investments, Inc.	X																													
SP	City of Fairmont, WV Sewer Revenue Bonds				X											X								X							
SP	Kanawha County, WV Bldg. Revenue Bonds				X																										
SP	Huntington Natl Bank Money Market Account					X										X								X							
SP	1/5 int coal, oil, gas 6.5 Ac Linn Lick, Center Dist. Gilmer		X																Royalty			X									
SP	1/5 int coal, oil, gas 27 ac Linn Lick Center Dist. Gilmer		X																Royalty			X									
SP	3.33% int oil & gas 35 ac Bull Fork, DeKalb Dist, Gilmer			X															Royalty			X									
SP	5/32 int oil & gas 242 ac, NS Kanawha, Glenville Dist. Gilmer				X														Royalty					X							
SP	PaineWebber Putnam Global Growth IRA			X																NA											

This page may be copied if more space is required.

Name Alan B. Mollohan | Page 5 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Wells Fargo Home Mortgage	Mortgage - 60 G St SW, Washington, DC 20024				X						
JT	Huntington National Bank	Revolving credit line		X								
JT	Huntington National Bank	Loan against WV bonds	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(3)

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 AM 11:34
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC
(Office Use Only)

Alan B. Mollohan
(Full Name)

2346 Rayburn Building
(Mailing Address)

Washington, DC 20515

Daytime Telephone: 202/225-4172

Filer Status	[X] Member of the U.S. House of Representatives — State: ____ District: ____	[ ] Officer or Employee	Employing Office. ____
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date. ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Alan B. Mollohan	6-13-02

3325

Name: Alan B. Mollohan

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples* SP Mega Corp. Stock	G	DIVIDENDS X	IV	P
	Simon & Schuster	Indefinite	RENT; Royalties	X	
	1st Bank of Paducah, KY accounts	F	INTEREST X	VI	
JT	Rental property - 60 G St SW, WDC 20024	H	RENT X	VII	
JT	4 promissory notes for ~~property purchase:~~ Remington, Inc.	C	INTEREST X	V	
	25% ownership -- ~~Remington, Inc.~~	D	Sub S ~~Corp.~~ income	VII	
SP	25% ownership -- ~~Remington, Inc.~~	D		VII	
	1/3 ownership -- ~~MNM Holdings, LLC~~	F	Partnership	VI	

(WV farm & real estate inherited from Robert H. Mollohan)

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Alan B. Mollohan

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	1/3 ownership --	X																													
	~~D&M Investments, Inc.~~																														
	Istructure & stock of Ramada Inn, Morgantown inherited from Robert H. Mollohan)																														
SP	1/3 ownership --																														
	D&M Investments, Inc.	X																													
SP	City of Fairmont, WV				X											X							X								
	Sewer Revenue Bonds																														
SP	Kanawha County, WV				X																										
	Bldg. Revenue Bonds																														
SP	Huntington Natl Bank					X										X							X								
	Money Market Account																														
SP	1/5 int coal, oil,gas		X																	Royalty		X									
	6.5 ac Linn Lick,																														
	~~Center Dist Gilmer~~																														
SP	1/5 int coal,oil,gas		X																	Royalty		X									
	~~27 ac Linn Lick~~																														
	~~Center Dist Gilmer~~																														
SP	3.33% int oil & gas			X																Royalty		X									
	35 ac Bull Fork,																														
	DeKalb Dist Gilmer																														
SP	5/32 int Oil & gas																														
	242 ac, NS Kanawha,				X															Royalty				X							
	~~Glenville Dist Gilmer~~																														
SP	Painewebber Putnam																														
	Global Growth IRA			X																NA											

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(8) LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

DENNIS W. MOORE
(Full Name)

8319 Mullen Rd, Lenexa, KS 66215 202-225-2865
(Mailing Address) Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: KS District: 03	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

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EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dennis Moore	5-06-02

3328

Name DENNIS W MOORE | Page 3 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Midwest Perinatal Associates	Spouse Salary	N/A
	All About Women	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name DENNIS W MOORE | Page 3 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NONE			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name DENNIS W MOORE

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e.; one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED FUND TRUST	Other Type of Income (Specify. For Example, Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP, DC, JT	Examples:	SP Mega Corp. Stock					X								X										X								P
		Simon & Schuster		Indefinite																	Royalties												
		1st Bank of Paducah, KY accounts						X									X									X							
	ALL AMERICA (IRA)						X								X		X	X					NA										
	AMERICAN CENTURY (IRA)					X												X					NA										
	Fidelity Cash Res. (IRA)					X									X								NA										
	ICMA RETIREMENT (IRA)						X								X		X						NA										
	INVESCO FUNDS (IRA)					X									X			X					NA										
	VANGUARD Wellington (IRA)		X												X			X					NA										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DENNIS W. MOORE

Page 5 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	VANGUARD MM (IRA)					X								X										X								
	VANGUARD ENERGY (IRA)				X									X			X				X											
	VANGUARD 500 Index (IRA)	X												X			X				X											
	VANGUARD US Growth (IRA)	X												X			X				X											
	SUN Co STOCK			X										X									X									
	ZOSAA			X												X							X									
	US Gov't Thrift Savings				X									X			X						X									
JT	Cap Federal Savings				X											X							X									
SP	Merrill Lynch ESPP			X										X			X					N/A										
SP	INTRUST Savings			X												X							X									
SP	Lifetime Savings & Ret.		X													X						X										
SP	All America Financial		X											X			X					N/A										
SP	All America Fin.					X								X			X					NA										
	Cong Fed Credit Union		X													X																
	Condo - 8248 Monroe														X									X								
	American Funds			X																			X									

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SCHEDULE IV — TRANSACTIONS

Name Dennis W Moore | Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset		Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:*	Mega Corporation Common Stock	X			10-12-01		X								
JT	Real Estate - 8259 Monrovia			X					X							
JT	Life Ctrn - Lake of the Ozarks			X						X						

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Name

Page 7 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Bank - United Sugr. Assn of Texas	R E Mortgage		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ASPEN INSTITUTE	3/8/01–3/11/01	Wash. DC- Greenbrier - DC	Y	Y	Y	
	Dem. Leadership Council	5/10–5/13/01	Wash. DC - Key Largo, FL - Wash. D.C.	Y	Y	N	

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:24
(Office Use Only) CLERK
U.S. HOUSE OF REPRESENTATIVES

Jerry Moran
(Full Name)

2758 Thunderbird Drive Hays, KS 67601
(Mailing Address)

202-225-2715
Daytime Telephone

Filer Status
☑ Member of the U.S. House of Representatives — State: KS — District: 01
☐ Officer Or Employee — Employing Office:

Report Type
☑ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	
III.	Did you your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	
V.	Did you your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		05-14-02

3336

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Jerry Moran

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Salina Central High School, Salina, Kansas	Commencement Speech	May 20, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jerry Moran

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Emprise Bank, N.A. Accounts Hays, KS	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Sunflower Bank, N.A. Accounts Hays, KS	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Golden Plains Credit Union Accounts Hays, KS	$1 - $1,000	INTEREST	$1 - $200	
JT	Boeing Company Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Exxon Mobil Company Common Stock	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
JT	Halliburton Company Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jerry Moran

JT	Schlumberger LTD Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Chevron Texaco, Inc. Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Transocean Offshore common Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
DC	Series E U. S. Bonds	$1,001 - $15,000	INTEREST	NONE	
JT	Highlands Insurance Co. Common Stock	$1 - $1,000	DIVIDENDS	NONE	
JT	Franklin Gold Fund, Mutual Fund	$1 - $1,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
SP	Fidelity Growth Opportunity T	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	N/A	P
SP	Lincoln Life Growth & Income Mutual Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Missouri College Savings Bond	$1,001 - $15,000	INTEREST	NONE	
	AIM Value B Mutual Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	N/A	
	American Capital World Growth Income	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	N/A	
	Federated Growth Strategies Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	N/A	
	Pfizer Inc. Common Stock	$1,001 - $15,000	DIVIDENDS	N/A	
SP	Putnam Global Growth B	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	N/A	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jerry Moran

	Avaya Inc. Common Stock	$1 - $1,000	DIVIDENDS	NONE	
	Lucent Technologies, Inc. Common Stock	$1,001 - $15,000	DIVIDENDS	N/A	
	Evergreen Money Market	$50,001 - $100,000	INTEREST	N/A	
SP	Massachusetts Investment Trust	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	N/A	
	Aetna Life Insurance & Annuity Company-Subsection 457 Deferred Compensation Plan of the State of Kansas	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
SP	Lincoln Life Special Opportunities Mutual Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	Evergreen Money Market	$1 - $1,000	INTEREST	$1 - $200	
SP	Evergreen Money Market	$1 - $1,000	INTEREST	N/A	
SP	Fidelity Growth Opportunity T	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	N/A	P

SCHEDULE IV - TRANSACTIONS

Name Jerry Moran

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Fidelity Growth Opportunity T	P	2/20/01	$1,001 - $15,000
SP	Fidelity Growth Opportunity T	P	5/11/01	$1,001 - $15,000
JT	Exxon Mobil Company Common Stock	P	3/9/01 6/11/01 7/11/01 9/10/01 12/10/01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Jerry Moran

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Center for International Policy	April 16-19	Wichita, KS-Miami, FL-Havana, Cuba-Miami, FL - Wichita, KS	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Jerry Moran

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Ft. Hays State University Endowment Association, Hays, KS
Governor	Board of Governors, University of Kansas, School of Law, Lawrence, KS
Executive Member	The Eisenhower Foundation, Abilene, KS
Executive Board Member	Coronado Area Council Boy Scouts of America, Salina, KS
Commissioner	Dwight D. Eisenhower Memorial Commission, Washington, DC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(10)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:35
OFFICE OF THE CLERK
(Official Use Only)

Constance A. Morella
(Full Name)

2228 Rayburn Building
Washington, D.C. 20515
(Mailing Address)

202-225-5341
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: MD District: 8	☐ Officer or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Constance A. Morella	May 15, 2002

3344

Name Constance A. Morella | Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$8,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
American University, Washington, D.C.	Spouse Salary	NA
State of Maryland	Teacher/Legislative Pension	$18,802.

For payments to charity in lieu of honoraria, use Schedule II.

Name Constance A. Morella | Page 3 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Bryn Mawr College, Pennsylvania	Speech	Oct. 27, 2001	$2,000

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Name Constance A. Morella | Page 4 of 10

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left

BLOCK B — Value of Asset at close of reporting year

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other: Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp Stock	Indefinite	X	X	P
	Examples: Simon & Schuster				
	Examples: 1st Bank of Paducah, KY accounts	X	X		
	Royalties			X	
	Allegheny Energy	X	X	X	P
	BP	X	X	X	P
	Walt Disney Hldg	X	X	X	
	DuPont	X	X	X	
	Eastman Kodak	X	X	X	
	Exxon Mobil	X	X	X	S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Constance A. Morella

Page 5 of 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1–$1,000	C $1,001–$15,000	D $15,001–$50,000	E $50,001–$100,000	F $100,001–$250,000	G $250,001–$500,000	H $500,001–$1,000,000	I $1,000,001–$5,000,000	J $5,000,001–$25,000,000	K $25,000,001–$50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1–$200	III $201–$1,000	IV $1,001–$2,500	V $2,501–$5,000	VI $5,001–$15,000	VII $15,001–$50,000	VIII $50,001–$100,000	IX $100,001–$1,000,000	X $1,000,001–$5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Minnesota Mining				X									X									X									
	Occidental OXY				X									X							X											P
	Pfizer						X							X									X									
	Pharmacia				X									X									X									
	Qwest Comm.			X										X								X										
	USX - Marathon				X									X									X									
	New Plan Realty TR				X									X									X									
	U.S. Treas. Note				X											X									X							
	Schwab Money MKt.					X										X							X									
	Bank of America				X											X						NA										
	Oppenheimer Fund			X										X								NA										
	East Cambridge Savings		X													X						X										
	MD State Deferred					X										X						NA										
	Congressional Credit Union				X											X							X									
	Kinder Morgan				X									X									X									S
	Merck & Co.				X									X									X									S
SP	EMC Corp. Mass			X										X								X										
SP	J.P. Morgan			X										X									X									P
SP	MC Data		X											X								X										Spin-Off
SP	Williams Comp.				X									X									X									P
SP	U.S. Treas. Note				X											X							X									
SP	Oppenheimer Fund			X												X							X									

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Constance A. Morella

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Schwab Money Mkt			X												X							X									
SP	TIAA-CREF Retirm								X							X					N/A											
SP	CSX Corp			X										X									X									S
JT	Van Kampen			X												X						X										
JT	U.S. Savings Bonds				X											X					X											

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Constance A. Morella | Page 7 of 10

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Merck & Co.		X		6-28-01		X								
	Occidental Oxy	X			8-7-01		X								
	Exxon Mobil Corp		X		10-10-01		X								
	Allegheny Energy	X			11.26.01		X								
	BP	X			12.20.01		X								
	Kinder Morgan		X		12.24.01		X								
SP	J.P. Morgan	X			1.23.01		X								
SP	CSX Corp.		X		4.24.01		X								
SP	Williams Co.	X			10.04.01		X								

This page may be copied if more space is required.

Name Constance A. Morella | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001 - $15,000	C $15,001 - $50,000	D $50,001 - $100,000	E $100,001 - $250,000	F $250,001 - $500,000	G $500,001 - $1,000,000	H $1,000,001 - $5,000,000	I $5,000,001 - $25,000,000	J $25,000,001 - $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Chase Mortgage	Home Mortgage: 6601 Millwood Rd Bethesda, MD		X								
JT	First Union National Bank	Equity line of credit		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Aspen Institute: Bipartisan Congressional Retreat	Mar. 9-11	Wash, D.C.-White Sulphur Spring, W.VA. - Wash, D.C.	Y	Y	Y	N
	Aspen Institute: U.S. National Security and the Global Environment	May 29-Jun 3	Wash, D.C - Florence, Italy - Wash, D.C.	Y	Y	Y	N
	Aspen Institute: U.S.-Russia Relations	Aug 19-26	Wash, D.C.-Helsinki, Finland-Wash, D.C.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board	Cafritz Foundation, Washington, D.C.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 AM 10:45

MC OFFICE OF THE CLERK U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

JOHN P. MURTHA, JR.
(Full Name)

2238 WOODCREST DRIVE
(Mailing Address)

Daytime Telephone

JOHNSTOWN, PA 15905

Filer Status [X] Member of the U.S. House of Representatives — State: PA District: 12TH [ ] Officer or Employee — Employing Office.

Report Type [X] Annual (May 15) [ ] Amendment [ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	X John P. Murtha	5/15/02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E P, S, E
SP	SP Mega Corp. Stock					X								X										X								P
DC	*Examples:* Simon & Schuster			Indefinite																Royalties								X				
JT	1st Bank of Paducah, KY accounts						X									X									X							
JT	CHARLES SCHWAB				X									X								X										
SP	CONGRESSIONAL FCU			X												X							X									
	WESBANCO, INC.				X									X										X								
	CENWEST BANK			X												X					N/A - IRA											
	CONGRESSIONAL FCU			X												X					N/A - IRA											
SP	CONGRESSIONAL FCU			X												X					N/A - IRA											

For additional assets and unearned income, use next page.

3355

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN P. MURTHA

Page 2 of 3

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	CENWEST BANK	C	INTEREST	I N/A – IRA	
	CONGRESSIONAL FCU	B	INTEREST	II $1 – $200	
JT	CENWEST BANK	C	INTEREST	II $1 – $200	P
SP	EVERGREEN-U.S. GOVT.	B	DIVIDENDS	II $1 – $200	
SP	EVERGREEN FDS GR. FD.	D	DIVIDENDS	I None	P
	AXA FINANCIAL	C	DIVIDENDS	II $1 – $200	
JT	CONGRESSIONAL FCU	A (NO JOINT ACCOUNT EXISTS)	INTEREST	I None	

This page may be copied if more space is required.

Name JOHN P. MURTHA, JR. | Page 3 of 3

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	EVERGREEN GROWTH FD	X			1-22-01	X									
	WESBANCO, INC. QUARTERLY DIVIDEND REINVESTMENT	X			1-02-01										
	WESBANCO, INC.	X			4-02-01	X									
	WESBANCO, INC.	X			7-02-01										
	WESBANCO, INC.	X			10-01-01										
	AXA-AXF MERGER		X		1-02-01	X									
JT	SAVINGS ACCT.-CENWEST BANK	X			1-02-01	X									

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(6) LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:59
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Suellen Wilkins Myrick
(Full Name)
9169 Bonnie Briar Cr.
Charlotte, NC 28277
(Mailing Address)
Daytime Telephone 202-225-1976

Filer Status	[X] Member of the U.S. House of Representatives — State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Suellen Wilkins Myrick	5/14/02

3358

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N/A		

For payments to charity in lieu of honoraria, use Schedule II.

3359

Name Suellen W. Myrick | Page 3 of 6

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
Examples: XYZ Magazine	Article	Aug. 13, 2001	$500
St. Paul Diversity Committee Charlotte, NC	Speech	4/30/01	$500

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Name Sydney W. Myrick | Page 4 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock					X								X										X								P
	Indefinite Simon & Schuster																			Royalties									X			
	1st Bank of Paducah, KY account						X									X										X						
JT	Putnam Money Mkt.				X											X							X									E
JT	Hartford Money Mkt.			X												X							X									E
JT	Salomon Bros. Cash Mgmt. Fund				X											X							X									E

For additional assets and unearned income, use next page.

3361

Name Suellen W. Myrick Page 8 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Putnam Money Mkt. Fund			X	3/01	X									
JT	Hartford Money Mkt. Fund			X	3/01		X								
JT	Salomon Bros. Cash Mgmt. Fund			X	3/01		X								

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Heidelberg College, Tiffin, Ohio

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2003 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERY

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12:22
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(6)

MC

JERROLD LEWIS NADLER
(Full Name)

315 West 70th Street Apt. 3C
(Mailing Address)

(202) 225-5635
(212) 367-7350
Daytime Telephone

Filer Status: [X] Member of the U.S. House of Representatives — State: N.Y. District: 8. [ ] Officer or Employee — Employing Office: ____

Report Type: [X] Annual (May 15) [ ] Amendment [ ] Terminal on ____ Termination Date: ____

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[X]	[ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[ ]	[X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[X]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[ ]	[X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[ ]	[X]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[X]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[X]	[ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jerrold Nadler	5/12/02

3364

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	New York State Comptroller's Office	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp Stock					X								X										X								P
DC	Examples: Simon & Schuster		Indefinite																	Royalties									X			
JT	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
SP	Smith Barney Money Funds				X									X										X								
SP	Alabama Power Company			X												X							X									
SP	Eott Energy Partners, LP			X										Partnership Income																		
DC	Smith Barney Money Funds				X									X									X									
DC	Amerigas Partners, L.P.			X										Partnership Income									X									
DC	N.Y.S. Gen'l Obligation Bonds			X																	X											

For additional assets and unearned income, use next page.

3366

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jerrold Lewis Nadler

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
DC	HSBC Bank (USA)	C	INTEREST	II	
DC	State of Israel Bonds	A	INTEREST	II	
SP	Chase Manh. Bank	C	INTEREST	III	
DC	Hist. Soc. Charitable Remainder Trust	A		II	
	U.S. Savings Bonds	C	INTEREST	I	

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SCHEDULE VII — TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
1	Jewish Community Relations Council (JCRC) + United Jewish Appeal (UJA)	1/9/01-1/12/01	N.Y.C.— Israel- N.Y.C.	Y	Y	N	N
2	American Civil Liberties Union (ACLU)	3/10/01	NYC - Boston-NYC	N	N	N	N
3	National Public Radio (NPR) Justice Talking Show	6/11/01	NYC- Philadelphia-NYC	N	N	N	N
4	American Association of Railroads	7/6/01-7/9/01	NYC-Jackson Hole, Wyoming — NYC	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Vice President	Americans for Democratic Action
Member, Bd. of Directors	Community Free Democrats
Vice President	Bnai Zion

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
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MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Jerrold Lewis Nadler
(Full Name)

315 West 70th Street Apt 3C
(Mailing Address)

202-225-5635
212-367-7350
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: NY District: 8	[ ] Officer or Employee	Employing Office:
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jerrold Nadler	6/11/02

3370

Name Jerrold Lewis Nadler | Page of

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
(1)	Jewish Community Relations Council (JCRC) + United Jewish Appeal (UJA)	1/9/01-1/18/01	N.Y.C.— Israel— N.Y.C.	Y	Y	N	N
(2)	American Civil Liberties Union (ACLU)	3/10/01	NYC - Boston-NYC	N	N	N	N
(3)	National Public Radio (NPR) Justice Talking Show	6/11/01	NYC - Philadelphia-NYC	N	N	N	N
(4)	American Association of Railroads	7/6/01-7/9/01	NYC - Jackson Hole, Wyoming - NYC	Y	Y	Y	N
(5)	Retail, Wholesale + Department Store Union	11/16/01-11/17/01	DC - Miami, Florida Miami, Florida - N.Y.C.	Y	Y	N	N

1-6

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 JUN 14 PM 5:49 (6)
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only) MC

GRACE F. NAPOLITANO
(Full Name)

1609 LONGWORTH
(Mailing Address)

202-225-6256
Daytime Telephone

WASHINGTON, D.C.

Filer Status	[X] Member of the U.S. House of Representatives — State: CALIFORNIA District: 34	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X] No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ] No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ] No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Grace F. Napolitano	6-13-02

3372

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. HOUSE OF REPRESENTATIVES	SALARY	132,361
	FORD MOTOR COMPANY RETIREMENT PENSION PLAN	PENSION	10,652
	STATE OF CALIFORNIA Public Employees RETIREMENT SYSTEM	PENSION	3,842
	UNITED STATES RAILROAD RETIREMENT BOARD	PENSION-SPOUSE	NA
	The GIRLS	Sole PROPRIETOR	4,149

For payments to charity in lieu of honoraria, use Schedule II.

Name GRACE F. NAPOLITANO | Page 3 of 6

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
MARKET STRATEGIES	SURVEY	10-03-01	150

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1,001 – $15,000; C $15,001 – $50,000; D $50,001 – $100,000; E $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; EXCEPTED TRUST; EXCEPTED BUSINESS; CREDIT TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $201 – $1,000; III $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — *Examples:* SP Mega Corp. Stock		Indefinite	X		P
Simon & Schuster				Royalties	
1st Bank of Paducah, KY accounts			X	X	
Fidelity Cash Reserves	X				
" Blue Chip	X				
" Select Food/Ag	X				
" Ford Motor Co.	X				
Visteon Corp Com	X				

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name GRACE F. NAPOLITANO

Page 5 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	C $1,001 – $15,000	E $50,001 – $100,000	G $250,001 – $500,000	I $1,000,001 – $5,000,000	K $25,000,001 – $50,000,000	BLOCK C Type of Income: DIVIDENDS	INTEREST	EXCEPTED TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	III $201 – $1,000	V $2,501 – $5,000	VII $15,001 – $50,000	IX $100,001 – $1,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	NAPOLITANO FOR CONGRESS			X														

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	California Council for Int'l Trade	Jan. 10-12	Los Angeles → Monterey → Los Angeles	Y	Y	N	N
	U.S. Mexico Cultural/Education Foundation	Feb. 18-21	Los Angeles → Mexico City → Houston	Y	Y	N	N
	Cong Hispanic Caucus Institute	Feb. 21-26	Houston → Wash, D.C.	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(4)

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:52
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Richard E. Neal
(Full Name)

2133 Rayburn HOB
Washington, D.C. 20515
(Mailing Address)

(202) 225-5601
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: MA District: 2nd	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Richard E. Neal	5/15/02

3378

Name Richard E. Neal | Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$0,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Commonwealth of Massachusetts (UMass)	Approved Teaching Fee	$19,990.00
Commonwealth of Massachusetts	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Richard E. Neal

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		Block B											Block C						Block D											Block E
			A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	Examples:	SP	Mega Corp Stock				X								X										X						P
			Simon & Schuster			Indefinite											X				Royalties						X				
			1st Bank of Paducah, KY accounts					X																		X					
	Sun America Money Market				X										X									X							
	Springfield Institute for Savings				X												X						X								
	Springfield, Massachusetts Credit Union			X													X						X								
	Congressional Federal Credit Union			X													X						X								
	City of Springfield Retirement Fund				X										NA							NA									

For additional assets and unearned income, use next page.

3380

Name Richard E. Neal | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

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	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Association of American Railroads	Feb. 23-25	Springfield/Hartford - Scottsdale, AZ and return	Y	Y	N	N
	Invest to Compete Alliance	July 4-7	Springfield, MA to Chatham, MA by private auto	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:04
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

George R. Nethercutt, Jr.
(Full Name)
223 Cannon House Office Bldg.
Washington, D.C. 20515
(Mailing Address)
202-225-2006
Daytime Telephone:

Filer Status	[X] Member of the U.S. House of Representatives — State: WA District: 5	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	George R. Nethercutt, Jr.	5/15/02

3382

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	United States Senate Jan 1 – July 8	Spouse Salary	NA
	U.S. Dept. of Commerce July 9 – Dec 31	Spouse salary	NA
	Estate of Vera Hometenger Wilson	Executor's fee	$10,000

For payments to charity in lieu of honoraria, use Schedule II.

3383

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None	NA		

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A	Block B	Block C	Block D	Block E
	A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — Examples: SP Mega Corp. Stock	Indefinite	X		P
Simon & Schuster			X	
1st Bank of Paducah, KY accounts	X			
E. 706 Highland Blvd. Spokane WA	X	X	VI	
Fox Mar Partnership - Summerville SC Ltd. Partnership	X	X	VI	
Midwest Diamond Baseball Club	X	partnership income	See schedule IV	S
1927 Yankees Investment Club	X	X X X	IV See Schedule IV	S
Von Kampen American Trust				
American Pace Fund	X	NA - IRA	NA	
Dean Witter American Value Fund	X	NA - IRA	NA	

For additional assets and unearned income, use next page.

3385

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name George R. Nethercutt, Jr

Page 5 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Dean Witter Amer. Opp. Fund				X									NA - IRA							NA											
	Cap. Grdn. Trust Co. - Growth Fund of America				X									NA - IRA							NA											
	Cap. Grdn Trust Co. - New Perspectives Fund				X									NA - IRA							NA											
	Cap. Grdn Trust Co. - American Mutual Fund				X									NA - IRA							NA											
	Cap. Grdn Trust Co. - Europacific Growth Fund				X									NA - IRA							NA											
	Cap. Grdn. Trust Co. - New Perspective Fund				X									NA - IRA							NA											
	Piper Jaffray Money Market			X										NA - IRA							NA											
	Congressional Fed. Credit Union			X												X							X									
	U.S. Senate Fed. Credit Union		X													X						X										
	Thrift Savings Acct. - U.S. House			X										NA - IRA							NA											
	[redacted]																															

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SCHEDULE IV — TRANSACTIONS

Name George R. Nethercutt Jr | Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Midwest Diamond Baseball Club Ltd. P/ship		X		1-3-01	X									
	1927 Yankees Investment Club		X		3-8-01	X									

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Name George R. Nethercutt, Jr | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Washington Mutual Bank - Spokane, WA	mortgage on E. 706 Highland Blvd, Spokane WA				X						
	Washington Trust Bank - Spokane, WA	line of credit to July 1 - paid in full			X							
	First Union Bank - McLean, VA	line of credit from July 7			X							
	Wachovia National Bank - Summerville SC	Farmer mortgage - 300 N. main - Summerville SC.		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None	NA	NA

Use additional sheets if more space is required.

3388

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Transatlantic Policy Network	April 8-11	Wash, DC - Malaga, Spain	Y	Y	Y	2 days
USA Rice	April 11-13	Madrid, Spain - Havana Cuba - Wash. DC	Y	Y	N	N
Joslin Diabetes Center	March 16	Wash, DC - Boston - Wash, D.C.	N	Y	N	N
National Assn of Wheat Growers	Feb 1-3	Wash. DC - New Orleans, LA - Williamsburg VA	Y	Y	N	N
The Aspen Institute	Jan 12-17	Wash. DC - Grand Cayman Is. Wash. DC.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature, and positions listed on Schedule I.

Position	Name of Organization
Limited Partner	Midwest Diamond Baseball Club
Partner	1927 Yankees Investment Club
Board Member	Spokane Neighborhood Action Programs (non-profit) Spokane WA (uncompensated)
Executor	Estate of Vera Hometanger Wilson
Executor	Estate of Everett Wilson
Successor Trustee	Estate of Jack W. Dishman

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	NA

GPO 2002 77-791 (max)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:32
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9

MC

Robert William Ney
(Full Name)

112 overlook CT. ST. Clairsville OH 43950
(Mailing Address)

202-225-6265
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives	State: OHio District: 18th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert William Ney	5/14/02

3391

Name	Page
Bob Ney	2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$8,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Bob Ney for Congress (Spouse)	Campaign Consultant/ Worker	25,000.00

For payments to charity in lieu of honoraria, use Schedule II.

Name Bob Ney | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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Name Bob Ney | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP	Examples: SP Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster	Indefinite																		Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X									X							
	Savings Account		X													X						X										
	Wright Patman Credit Union Wash D.C.																															

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Bob Ney

Page 5 of 9

SP. DC. JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	None																													

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3395

Name

Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mege Corporation Common Stock	X			10-12-01		X								

— None —

This page may be copied if more space is required.

Name Bob Ney | Page 2 of 2

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability										
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	MBNA	Credit Card		X								
	American Express	Credit Card		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	None-	

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C —Los Angeles—Cleveland	Y	Y	Y	2 Days
	IMDI (International Mng Aro Development Institute	2-21/01 to 2/25/01	WASH DC - DUSSELDORF GERM Lichtenstein - WASH DC.	Y	Y	Y	NO

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Name	Page
Bob Ney	9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	None

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government, or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 14 AM 10: 03
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

ANNE MEAGHER NORTHUP
(Full Name)

3340 LEXINGTON ROAD
(Mailing Address)

LOUISVILLE, KY 40206

Daytime Telephone: (502) 852-5129

Filer Status	[X] Member of the U.S. House of Representatives — State: KENTUCKY District: 03	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Terminat on ____ Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefitting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Anne M. Northup	05/15/02

3400

Name	ANNE MEAGHER NORTHUP	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
U. S. HOUSE OF REPRESENTATIVES	CONGRESSIONAL SALARY	$142,855
RADIO SOUND INC.	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name	ANNE MEAGHER NORTHUP	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NONE TO REPORT			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name: ANNE MEAGHER NORTHUP

Page 1 of 2

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of Income by checking the appropriate box below. Dividends, even if reinvested, should be listed as Income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E P, S, E
SP	SP Mega Corp. Stock					X								X																		P
DC, Examples:	Simor & Schuster				Indefinite															Royalties				X				X				
JT	1st Bank of Paducah, KY accounts						X									X									X							
SP	FIDELITY DIS. EQUITY MF				X									X								X										
SP	FIDELITY STOCK SELECT MF				X									X								X										
SP	FIDELITY CONTRAFUND MF				X									X								X										
SP	FIDELITY AGGRESSIVE MF			X										X								X										
SP	FIDELITY NEW MILLENIUM MF				X									X								X										
SP	FIDELITY DEVEL. COMM MF				X																X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ANNE MEAGHER NORTHUP

Page 2 of 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income						BLOCK D Amount of Income										BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	HARLEY DAVIDSON CS		X											X							X									
JT	PFIZER INC CS			X										X							X									
JT	CITIGROUP INC CS			X										X							X									
JT	LOWE'S COS CS			X										X							X									
JT	CHEVRON CS				X									X							X									
	BANC ONE CS						X							X										X						
JT	MERRILL LYNCH MONEY MRKT				X											X								X						
JT	US TREASURY															X							X							
SP	COMMONWEALTH BANK TUA							X						X		X	X							X						
	WEINGARTEN FUND (B) IRA			X																X										
SP	WEINGARTEN FUND (B) IRA			X																X										
SP	RADIO SOUND INC CS										X			X														X		
SP	FIDELITY SEL ELECTIONICS CS				X															X										

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SCHEDULE IV — TRANSACTIONS

Name ANNE MEAGHER NORTHUP

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
JT	CLEAR CHANNEL COMM - COMMON STOCK		X		6-05-01	X									
JT	COMPAQ CORP - COMMON STOCK		X		6-05-01	X									
JT	CHEVRON/TEXACO - COMMON STOCK	X			6-05-01		X								
JT	LOWE'S COS. - COMMON STOCK	X			6-05-01	X									
JT	CITIGROUP - COMMON STOCK	X			6-05-01	X									
SP	FIDELITY DISC EQUITY - MUTUAL FUND	X			12-07-01	X									
SP	FIDELITY STOCK SELECTION - MUTUAL FUND	X			12-07-01	X									
SP	FIDELITY CONTRAFUND - MUTUAL FUND	X			12-07-01	X									
SP	FIDELITY AGGRESSIVE GROWTH - MUTUAL FUND	X			12-07-01	X									
SP	FIDELITY NEW MILLENNIUM - MUTUAL FUND	X			01-05-01	X									

This page may be copied if more space is required.

Name	ANNE MEAGHER NORTHUP	Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE TO REPORT											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE TO REPORT		

Use additional sheets if more space is required.

Name	ANNE MEAGHER NORTHUP	Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	FOOD DISTRIBUTORS INTL	MARCH 3	LOUISVILLE - ORLANDO - LOUISVILLE	N	Y	N	N
	NATIONAL ASSN. OF HOME BUILDERS	FEB. 10	LOUISVILLE - ATLANTA - LOUISVILLE	N	Y	N	N

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Name	ANNE MEAGHER NORTHUP	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	NONE TO REPORT

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE TO REPORT	

GPO: 2002 77-791 (mso)

Use additional sheets if more space is required.

LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES

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3409

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Eleanor Holmes Norton
(Full Name)

10 Ninth Street, SE
(Mailing Address)

Washington, D.C. 20003

Daytime Telephone: 202/225-8050

Filer Status	☑ Member of the U.S. House of Representatives — State: D.C. District:	☐ Officer or Employee	Employing Office
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (e.g., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Eleanor H Norton	5/13/02

Name	Page 2 of 8
Eleanor Holmes Norton	

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$5,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Georgetown University Law Center	Approved Teaching Fee	$9630
	Pitney Bowes	Retirement Fee	$12000

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Eleanor Holmes Norton

Page 3 of 3

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

	Asset and/or Income Source	Value of Asset											Type of Income						Amount of Income										Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example Partnership Income of Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	X Over $5,000,000	P, S, E
SP	*Examples* Mega Corp. Stock					X								X										X							P
DC	Simon & Schuster			Indefinite																Royalties								X			
JT	1st Bank of Paducah KY Savings						X									X									X						
	Congressional Fed. Credit Union				✓									✓		✓								✓							
	Boston Capital Private Tax Cr. Fnd.				✓											✓							✓								
	Intergen Investors, Ltd				✓																✓										
	Merrill Lynch Account																														
	CMA Tax Exempt (Money Fund)		✓													✓						✓									
	Indiana Univ. Revs. Sldt Fee				✓															DIV			✓								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name Eleanor Holmes Norton

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Cook Co., IL Sch. Dist.				✓															OID				✓								
	Mesquite, TX Ind. Sch. Dist.				✓															OID			✓									
	Western IL Univ. Rev. Aux. Facs				✓															OID			✓									
	So. Ill. Univ. Rev. Hsg. & Facs.				✓															OID			✓									P
	Romeo, MI County Sch. Dist.				✓															OID				✓								
	Palatine, IL Corp. Purp. Rfdg.				✓															OID			✓									P
	DuPage Co. IL, Presv. Dist.				✓															OID			✓									
	General Electric Common Stock			✓																	✓											P
	Alliance Premier Growth Fd. B				✓																✓											
	Davis NY Venture Fund A						✓							✓								✓										
	ML Fundamental Growth B				✓																✓											
	PIMCO Innovation Fd. C			✓																	✓											
	Putnam Health Sciences B				✓												✓							✓								P
	Royal Alliance (IRA)																															
	RTC Cash Account		✓														✓					✓										
	Alliance Premier Growth Cl. C				✓																✓											
	Mass. Investor Growth Cl. C					✓															✓											
	MFS Emerging Growth Cl. C				✓																✓											
	SA Style Select Focused Value II			✓																	✓											P
	(exch. SA Gwth. Oppty. Fd.)																															
	SA Style Select Focus Growth II			✓										✓			✓							✓								E
	(exch. SA Aggr. Gwth. Fd.)																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Eleanor Holmes Norton

Page 5 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Tech. Funding Venture Ptnrs. IV			✓																	✓											
	Tech. Funding Venture Ptnrs. V			✓																	✓											
	Anchor Nat'l Life Ins. Annuity					✓															✓											Partial Sale
	Met Life Pension Annuity			✓										✓								✓										
	TIAA-CREF		Indefinite											Income yet to be determined																		

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SCHEDULE IV — TRANSACTIONS

Name Eleanor Holmes Norton

Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-00		X								
	So. Ill. University Revs. Hsg. & Aux. Facs.	✔			3/16/01		✔								
	Palatine, IL Corp. Purp. Rfdg.	✔			3/2/01		✔								
	General Electric Common	✔			9/17/01	✔									
	Putnam Health Sciences Trust Class B	✔			1/10/01; 12/17		✔		Includes Dividend Reinvestment						
	Putnam International New Opportunities Fund Class B		✔		1/10/01		✔								
	High Equity Partners Series 85		✔		11/23/01	✔			Sale under new name Shelbourne I & II						
	High Equity Partners Series 86		✔		11/23/01	✔			Sale under new name Shelbourne I & II						
	Anchor National Life Ins. Annuity		✔		12/13/01	✔									
	Style Select Growth Opportunity Fund Class II (Exch. Out)			✔	11/19/01		✔								
	Style Select Focused Value Fund Class II (Exch. In)	✔		✔	11/19; 12/14		✔		Includes Dividend Reinvestment						
	Style Select Aggressive Growth Fund Class II (Exch. Out)			✔	11/20/01		✔								
	Style Select Focused Growth Fund Class II (Exch. In)	✔		✔	11/20; 12/17		✔		Includes subsequent purchase						

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Name Eleanor Holmes Norton | Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Aspen Institute	March 9-11	Wash DC - White Sulfur Spirings - Wash DC	Y	Y	N	N
	American Airlines, AT&T, Microsoft	March 15-19	Wash DC - San Jose CA - Wash DC	Y	Y	N	N
	Chatham College	May 19-20	Wash DC - Pittsburgh PA - Wash DC	Y	Y	N	N

This page may be copied if more space is required.

Name	Eleanor Holmes Norton	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
See Attached	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
07/19/01	Georgetown University Law Center	Extended leave of absence from position as Professor of Law and part-time appointment to teach a seminar in 2000-2001 academic year.
		See attached approvals and agreement

GPO 2001 70-729 (eac)

Use additional sheets if more space is required.

Congresswoman Eleanor Holmes Norton's
2001 Board Participation

Position	Name of Organization
Professor of Law*	Georgetown University
Member	Council on Foreign Relations
Member	Citizens Commission for Civil Rights
Member of the Board	Economic Policy Institute
Member of the Board	Environmental Law Institute
Member of the Board	Lawyers Committee for Civil Rights Under Law
Member of the Board	Washington Symphony
Chair	Women's Law and Public Policy Fellowship Program, Georgetown University
Member of the Board	Work in America Institute
Member of the Board	Good Samaritan Foundation

Advisory Boards

Advisory Board Member	Patriots' Trail Girl Scout Council, Inc.
Advisory Board Member	Sewall-Belmont House
Advisory Board Member	Women & Politics Institute, American University

GEORGETOWN UNIVERSITY LAW CENTER

Office of the Dean

July 19, 2001

The Honorable Eleanor Holmes Norton
U. S. House of Representatives
1424 Longworth House Office Building
Washington, D. C. 20515

Dear Eleanor:

I am delighted that you have agreed to teach a seminar at the Law Center during the 2001-2002 academic year. This letter confirms the terms of your faculty appointment.

Consistent with Georgetown University's faculty leave policy, your leave of absence from the full-time faculty has been extended through June 30, 2002.

Your seminar will be offered as part of the regular J.D. program of instruction at the Law Center. Students will receive regular credit toward their law degrees for their attendance and participation in your seminar.

Your salary will be $10,200, which will be paid out of Law Center operating funds. No federal funds will be devoted to your salary. The compensation you will receive does not exceed the salary the Law Center pays to those whose professional qualifications are similar to yours and who provide a comparable level of instruction and amount of work. Barbara Duncan, administrative officer in charge of Law Center payroll, will contact you regarding arrangements for payment.

Enclosed is a copy of the 2001-2002 Law Center academic calendar. If you have any questions about the scheduling of your seminar, please contact Assistant Dean Carol O'Neil at (202) 662-9041.

You are eligible to hire a student research assistant to assist in preparation of the seminar materials. The student will be paid out of Law Center operating funds.

Sincerely,

Judith Areen
Dean

Understood and accepted.

ELEANOR HOLMES NORTON

08-03-01
Date

600 New Jersey Avenue NW Washington DC 20001-2075
202-662-9010 FAX 202-662-9055

JOEL HEFLEY, COLORADO
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COUNSEL TO THE CHAIRMAN

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COUNSEL TO THE RANKING
MINORITY MEMBER

ONE HUNDRED SEVENTH CONGRESS

U.S. House of Representatives

COMMITTEE ON STANDARDS OF
OFFICIAL CONDUCT

Washington, DC 20515–6328

HOWARD L. BERMAN, CALIFORNIA
RANKING MINORITY MEMBER

MARTIN OLAV SABO, MINNESOTA
ED PASTOR, ARIZONA
ZOE LOFGREN, CALIFORNIA
STEPHANIE TUBBS JONES, OHIO

SUITE HT-2, THE CAPITOL
(202) 225-7103

July 26, 2001

The Honorable Eleanor Holmes Norton
U.S. House of Representatives
1424 Longworth House Office Building
Washington, D.C. 20515

Dear Colleague:

This is to notify you of Committee approval of your request of July 24, 2001, to teach a course for compensation at Georgetown University Law Center. Your letter states that you have taught this course since 1991, and you explain that no official resources will be used to meet your teaching obligation, nor do you believe that it will conflict with your congressional responsibilities. Enclosed with your letter is correspondence from the Dean of the law school.

These arrangements appear to be similar to those that the Committee has approved in each of the past several years, pursuant to the guidelines issued by the Committee on teaching by Members and senior staff. As noted previously, your teaching compensation is subject to the 15% outside earned income limit of House Rule XXV, clauses 1-4. For 2001, that limit is $21,765. The income also must be reported on the Financial Disclosure Statement required of Members by title I of the Ethics in Government Act of 1978, as amended.

If you have any further questions, please contact the Committee's Office of Advice and Education at extension 5-7103.

Sincerely,

Joel Hefley
Chairman

Howard L. Berman
Ranking Minority Member

JH/HLB:jes

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2002-JUN 14 PM 5:10
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U.S. HOUSE OF REPRESENTATIVES
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7

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Charles W. Norwood (Full Name)

3914 Mulliken Road (Mailing Address) 202-225-4101 (Daytime Telephone)

Evans, Georgia 30809

Filer Status	[X] Member of the U.S. House of Representatives. State: District:	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Charles Norwood	6-14-02

3420

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Charles W. Norwood

Page 2 of 7

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Excludes: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B (A: None; B: $1 – $1,000; C: $1,001 – $15,000; D: $15,001 – $50,000; E: $50,001 – $100,000; F: $100,001 – $250,000; G: $250,001 – $500,000; H: $500,001 – $1,000,000; I: $1,000,001 – $5,000,000; J: $5,000,001 – $25,000,000; K: $25,000,001 – $50,000,000; L: Over $50,000,000)	Block C (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D (I: None; II: $1 – $200; III: $201 – $1,000; IV: $1,001 – $2,500; V: $2,501 – $5,000; VI: $5,001 – $15,000; VII: $15,001 – $50,000; VIII: $50,001 – $100,000; IX: $100,001 – $1,000,000; X: $1,000,001 – $5,000,000; XI: Over $5,000,000)	Block E
SP, DC, JT	Examples				
SP	Mega Corp. Stock	Indefinite	X (DIVIDENDS)	X (VI)	P
	Simon & Schuster				
	1st Bank of Paducah, KY accounts	X (F)	X (INTEREST)	X (V)	
	Congressional FCU	X (B)	X (INTEREST)	X (II)	
	Suntrust Bank 3 accts	X (C)	X (INTEREST)	X (III)	
	N/R - Dr. Fred Thielke	X (C)	X (INTEREST)	X (V)	
	Lowndes Co, 61 acres	X (D)		X (I)	
	Belair Rd/Wrightsboro				
	Augusta, GA 1/2 Int Land	X (H)		X (I)	

Royalties

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Charles W. Norwood

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Smith Barney Money Fds		X											X								X									
	Enamelon Inc		X											X							X										
	Bldg. Walton Way West								X						X											X					
	3912 Mulliken Rd.							X								X										X					
	3974 Mulliken Rd.							X								X										X					
	Guardian Ins Annuity							X						X							X										
SP	Guardian Ins Annuity	X												X							X										S
SP	Guardian Stk. Fund	X												X								X									S
SP	Aim VI Cap. App Fund	X												X								X									S
SP	Janus Aspen Agg. Fund	X												X								X									S
SP	Fidelity VIP Contrafund	X												X								X									S
	Guardian Stock Fund	X												X								X									S
	Aim VI Cap App. Fund	X												X								X									S
	Janus Aspen Agg Growth	X												X								X									S
	Fidelity VIP Contrafund	X												X								X									S
	Personal Residence Excluded																														

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SCHEDULE IV — TRANSACTIONS

Name Charles W. Norwood

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	Guardian Stock Fund		X		8-10-01	X									
SP	Aim VI Capital App. Fund		X		8-10-01	X									
SP	Janus Aspen Agg. Growth		X		8-10-01	X									
SP	Fidelity VIP Contrafund		X		8-10-01	X									
	Guardian Stock Fund		X		8-10-01	X									
	AIM VI Capital App. Fund		X		8-10-01	X									
	Janus Aspen Agg. Growth		X		8-10-01	X									
	Fidelity VIP Contrafund		X		8-10-01	X									
SP	Guardian Insurance Annuity		X		5-12-01			X							

This page may be copied if more space is required.

Name Charles W. Norwood | Page 5 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Suntrust Bank	Mortgage on rental							X			
		property and investments										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Univ North Carolina Dental School	May 20	DC-Chapel Hill-DC	N	Y	Y	N
American Dental Assn	Aug 16-19	Augusta-Denver-Augusta	Y	Y	Y	N
Reliant Energy	Dec 26-28	Augusta-Houston-Augusta	Y	Y	N	N

This page may be copied if more space is required.

Name	Page
Charles W. Norwood	7 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Norwood Properties

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (rev)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:24
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

27
MC

Jim Nussle
(Full Name)

303 Cannon House Office Building
(Mailing Address)

(202)225 2911
Daytime Telephone

Washington, D.C. 20515

Filer Status	[x] Member of the U.S. House of Representatives — State: Iowa District: 2nd	[ ] Officer or Employee	Employing Office:
Report Type	[x] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [x]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [x]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [x]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [x]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [x]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [x]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [x]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [x]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [x]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [x]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim Nussle	5-15-02

3427

Name	Jim Nussle	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Karen Nussle		
	BKS&H	Spouse salary	

For payments to charity in lieu of honoraria, use Schedule II.

Name Jim Nussle

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E: P, S, E
SP, DC, JT	Examples: SP Mega Corp Stock						X							X										X								P
	Indefinite Simon & Schuster																			Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	US Savings Bonds (see attached)			X												X					X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jim Nussle

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Schwab IRA				X											X					X											
SP	AOL Time Warner (stock)			X										X							X											
SP	EMC Corp Mass (stock)			X										X							X											
SP	Gap Inc (stock)		X											X								X										
SP	Home Depot (stock)			X										X								X										
SP	WPP Group (stock)			X										X								X										
SP	Schwab Money Market			X										X								X										

This page may be copied if more space is required.

Name Jim Nussle | Page 5 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	(See Attached)														

This page may be copied if more space is required.

Name Jim Nussle

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calenda. year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Farmers and Merchants Savings Bank Manchester, Iowa	Mortgage on primary home (1220 North 6th Street Manchester, Iowa)			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PORTFOLIO APPRAISAL

JIM NUSSLE

December 31, 2001

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Cur. Yield
CASH AND EQUIVALENTS							
	Accrued Dividend		39.29		39.29	0.0	0.0
	Cash		11,524.51		11,524.51	11.3	1.5
			11,563.80		11,563.80	11.3	1.5
COMMON STOCK							
Consumer Discretion							
71	AOL Time Warner Inc	31.15	2,211.65	32.10	2,279.10	2.2	0.0
64	Target Corp	36.44	2,331.91	41.05	2,627.20	2.6	0.5
			4,543.56		4,906.30	4.8	0.3
Consumer Staples							
72	CVS Corp Delaware	36.93	2,658.96	29.60	2,131.20	2.1	0.8
			2,658.96		2,131.20	2.1	0.8
Energy							
25	Chevron Texaco Corporation	85.73	2,143.25	89.61	2,240.25	2.2	3.1
67	Exxon Mobile Corp	38.56	2,583.52	39.30	2,633.10	2.6	2.3
			4,726.77		4,873.35	4.8	2.7
Financials							
79	American Express Co	46.00	3,634.00	35.69	2,819.51	2.8	0.9
50	Citigroup Inc	31.78	1,589.07	50.48	2,524.02	2.5	1.3
64	J P Morgan Chase & Co	46.44	2,972.00	36.35	2,326.40	2.3	3.7
50	Merrill Lynch & Co Inc	63.31	3,165.63	52.12	2,606.00	2.5	1.2
54	State Street Corp	52.79	2,850.66	52.25	2,821.50	2.8	0.8
			14,211.36		13,097.43	12.8	1.5
Health Care							
50	Bristol Myers Squibb	52.73	2,636.50	51.00	2,550.00	2.5	2.2

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PORTFOLIO APPRAISAL

JIM NUSSLE

December 31, 2001

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Cur. Yield
35	Johnson & Johnson	38.72	1,355.16	59.10	2,068.50	2.0	1.2
41	Merck & Co Inc	66.55	2,728.55	58.80	2,410.80	2.4	2.4
470	Pfizer	0.00	0.00	39.85	18,729.50	18.3	1.3
46	Pharmacia Corp	45.85	2,109.10	42.65	1,961.90	1.9	1.3
80	Schering Plough Corp	40.90	3,272.00	35.81	2,864.80	2.8	1.8
			12,101.31		30,585.50	29.9	1.5
Industrials							
56	Automatic Data Processing	49.21	2,755.76	58.90	3,298.40	3.2	0.8
56	General Elec Co	41.45	2,321.20	40.08	2,244.48	2.2	1.8
102	Tyco International Ltd	39.40	4,019.00	58.90	6,007.80	5.9	0.1
			9,095.96		11,550.68	11.3	0.6
Information Technology							
160	Cisco Systems	66.72	10,675.00	18.11	2,897.60	2.8	0.0
137	EMC Corp MA	26.91	3,686.80	13.44	1,841.28	1.8	0.0
130	Intel Corp	40.91	5,318.13	31.45	4,088.50	4.0	0.3
34	JDS Uniphase Corp	60.02	2,040.56	8.68	295.12	0.3	0.0
33	Microsoft Corp	63.15	2,083.95	66.25	2,186.25	2.1	0.0
340	Sun Microsystems Inc	19.33	6,572.19	12.30	4,182.00	4.1	0.0
50	Texas Instruments	40.91	2,045.32	28.00	1,400.00	1.4	0.3
			32,421.94		16,890.75	16.5	0.1
Telecommunications							
277	Nextel Communication Inc	26.52	7,344.66	10.96	3,035.92	3.0	0.0
74	SBC Communications Inc	41.02	3,035.31	39.17	2,898.58	2.8	2.6
57	Worldcom Inc	50.06	2,853.27	14.08	802.56	0.8	0.0

SCI Capital Management
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PORTFOLIO APPRAISAL

JIM NUSSLE

December 31, 2001

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Cur. Yield
2	Worldcom MCI Group	50.65	101.30	12.70	25.40	0.0	18.9
			13,334.54		6,762.46	6.6	1.2
	COMMON STOCK Total		93,094.40		90,797.67	88.7	1.1
TOTAL PORTFOLIO			104,658.20		102,361.47	100.0	1.1

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

REALIZED GAINS AND LOSSES

JIM NUSSLE

From 12-31-00 Through 12-31-01

Open Date	Close Date	Quantity	Security	Cost Basis	Proceeds	Gain Or Loss Short Term	Gain Or Loss Long Term
02-23-00	01-24-01	55	Microsoft Corp	5,221.56	3,464.88	-1,756.68	
12-22-00	01-25-01	91	Nasdaq 100 Trust	5,434.41	5,894.89	460.48	
02-23-00	02-01-01	63	Viasat	4,496.63	4,457.10	-39.53	
02-23-00	02-05-01	57	Viasat	4,068.38	3,712.00	-356.38	
12-22-00	02-12-01	94	Nasdaq 100 Trust	5,613.56	5,290.14	-323.42	
10-25-00	02-15-01	0	JDS Uniphase Corp	12.00	9.02	-2.98	
04-14-00	03-12-01	42	Xilinx Inc.	2,665.25	1,848.49	-816.76	
07-13-99	06-12-01	64	Citigroup Inc	2,280.00	3,160.85		880.85
12-22-00	06-12-01	55	I Shares DJ US Hlscl Svcs	5,328.13	5,167.07	-161.06	
09-16-99	06-13-01	0	Worldcom MCI Group	14.18	5.24		-8.94
02-23-00	06-20-01	110	Crown Castle Intl Corp	3,520.00	1,519.38		-2,000.62
05-31-00	06-20-01	82	Crown Castle Intl Corp	2,224.25	1,132.63		-1,091.62
09-16-99	06-20-01	58	Tyco International Ltd	1,904.75	2,068.99		164.24
05-10-00	09-17-01	36	Network Appliance Inc	2,206.98	392.74		-1,814.24
10-25-00	09-17-01	82	Nortel Networks Corp.	3,807.88	420.64	-3,387.24	
07-26-99	09-17-01	50	Tellabs Inc	3,037.50	542.98		-2,494.52
09-16-99	09-17-01	50	Tellabs Inc	2,806.25	542.98		-2,263.27
11-17-00	09-17-01	124	ADC Telecommunication Inc	2,658.25	417.20	-2,241.05	
02-22-00	10-11-01	65	Johnson & Johnson	2,516.72	3,543.68		1,026.96
09-21-01	11-05-01	141	Nokia Corp	2,078.34	3,101.89	1,023.55	
11-20-00	11-05-01	108	Dell Computer Corp	2,484.00	2,915.90	431.90	
10-11-01	11-13-01	51	Elan Corp ADR 4	2,454.12	2,065.43	-388.69	
07-13-99	11-27-01	3	Citigroup Inc	95.00	133.65		38.65
09-16-99	11-27-01	16	Citigroup Inc	519.09	818.59		299.50
06-12-01	11-27-01	29	Target Corp	1,056.64	1,087.75	31.11	
03-14-01	11-27-01	38	Baron Corp	2,337.00	152.75	-2,184.25	
11-27-01	11-29-01	27	Dynegy Inc	1,099.71	940.91	-158.80	
TOTAL GAINS						1,947.04	2,350.19
TOTAL LOSSES						-11,816.84	-9,673.21
				71,940.58	54,747.77	-9,869.80	-7,323.01

TOTAL REALIZED GAIN/LOSS -17,192.81

NO CAPITAL GAINS DISTRIBUTIONS

SCI Capital Management
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PURCHASE AND SALE

JIM NUSSLE

From 12-31-00 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
PURCHASES					
09-17-01	09-20-01	71	AOL Time Warner Inc	31.15	2,211.65
01-25-01	01-30-01	79	American Express Co	46.00	3,634.00
08-15-01	08-20-01	56	Automatic Data Processing	49.21	2,755.76
12-20-01	12-26-01	50	Bristol Myers Squibb	52.73	2,636.50
08-15-01	08-20-01	72	CVS Corp Delaware	36.93	2,658.96
11-27-01	11-30-01	25	Chevron Texaco Corporation	85.73	2,143.25
11-27-01	11-30-01	27	Dynegy Inc	40.73	1,099.71
04-11-01	04-17-01	63	EMC Corp MA	34.50	2,173.50
08-03-01	08-08-01	74	EMC Corp MA	20.45	1,513.30
10-11-01	10-16-01	51	Elan Corp ADR 4	48.12	2,454.12
03-14-01	03-19-01	38	Enron Corp	61.50	2,337.00
12-20-01	12-26-01	67	Exxon Mobile Corp	38.56	2,583.52
03-15-01	03-20-01	56	General Elec Co	41.45	2,321.20
06-26-01	06-29-01	41	Merck & Co Inc	66.55	2,728.55
11-27-01	11-30-01	33	Microsoft Corp	63.15	2,083.95
09-17-01	09-20-01	130	Nextel Communication Inc	9.85	1,280.66
09-21-01	09-26-01	141	Nokia Corp	14.74	2,078.34
11-27-01	11-30-01	46	Pharmacia Corp	45.85	2,109.10
05-03-01	05-08-01	74	SBC Communications Inc	41.02	3,035.31
02-16-01	02-22-01	80	Schering Plough Corp	40.90	3,272.00
06-12-01	06-15-01	54	State Street Corp	52.79	2,850.66
06-12-01	06-15-01	93	Target Corp	36.44	3,388.55
					53,349.59
SALES					
09-17-01	09-20-01	124	ADC Telecommunication Inc	3.36	417.20
06-12-01	06-15-01	64	Citigroup Inc	49.39	3,160.85
11-27-01	11-30-01	3	Citigroup Inc	50.12	133.65
11-27-01	11-30-01	16	Citigroup Inc	50.12	818.59
06-20-01	06-25-01	110	Crown Castle Intl Corp	13.81	1,519.38
06-20-01	06-25-01	82	Crown Castle Intl Corp	13.81	1,132.63
11-08-01	11-14-01	108	Dell Computer Corp	27.00	2,915.90
11-29-01	12-04-01	27	Dynegy Inc	34.85	940.91
11-13-01	11-16-01	51	Elan Corp ADR 4	40.50	2,065.43
11-27-01	11-30-01	38	Enron Corp	4.02	152.75
06-12-01	06-15-01	55	I Shares DJ US Fincl Svcs	93.95	5,167.07
02-15-01	02-15-01	0	JDS Uniphase Corp	45.10	9.02
10-11-01	10-16-01	65	Johnson & Johnson	54.52	3,543.68
01-24-01	01-29-01	55	Microsoft Corp	63.00	3,464.88
01-25-01	01-30-01	91	Nasdaq 100 Trust	64.78	5,894.89
02-12-01	02-15-01	94	Nasdaq 100 Trust	56.28	5,290.14
09-17-01	09-20-01	36	Network Appliance Inc	10.91	392.74
11-05-01	11-08-01	141	Nokia Corp	22.00	3,101.89

SCI Capital Management
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PURCHASE AND SALE

JIM NUSSLE

From 12-31-00 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
09-17-01	09-20-01	82	Nortel Networks Corp.	5.13	420.64
11-27-01	11-30-01	29	Target Corp	37.51	1,087.75
09-17-01	09-20-01	50	Tellabs Inc	10.86	542.98
09-17-01	09-20-01	50	Tellabs Inc	10.86	542.98
06-20-01	06-25-01	38	Tyco International Ltd	52.87	2,008.99
02-01-01	02-06-01	63	Vitesse	70.75	4,457.10
02-06-01	02-09-01	57	Vitesse	65.12	3,712.00
06-13-01	06-13-01	0	Worldcom MCI Group	18.71	5.24
03-12-01	03-15-01	42	Xilinx Inc.	44.01	1,848.49
					54,747.77

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

INCOME AND EXPENSES

JIM NUSSLE

From 12-31-00 Through 12-31-01

Ex-Date	Pay-Date	Security	Amount
CASH AND EQUIVALENTS			
01-29-01	01-29-01	Money Market Fund	142.56
03-30-01	03-30-01	Money Market Fund	42.02
04-25-01	04-25-01	Money Market Fund	83.86
05-21-01	05-21-01	Money Market Fund	97.41
06-25-01	06-25-01	Money Market Fund	75.14
07-27-01	07-27-01	Money Market Fund	111.73
09-27-01	09-27-01	Money Market Fund	99.48
10-29-01	10-29-01	Money Market Fund	29.29
11-21-01	11-21-01	Money Market Fund	19.06
12-26-01	12-26-01	Money Market Fund	21.56
			722.11
COMMON STOCK			
01-03-01	01-31-01	J P Morgan Chase & Co	20.48
01-29-01	02-12-01	Texas Instruments	1.06
01-31-01	02-28-01	Merrill Lynch & Co Inc	8.00
02-01-01	02-23-01	Citigroup Inc	18.62
02-05-01	03-01-01	Intel Corp	2.60
02-15-01	03-13-01	Johnson & Johnson	16.00
03-08-01	03-30-01	Nortel Networks Corp.	1.54
03-20-01	03-20-01	I Shares DJ US Fincl Svcs	13.20
03-29-01	05-02-01	Tyco International Ltd	1.75
04-04-01	05-10-01	American Express Co	6.32
04-04-01	04-30-01	J P Morgan Chase & Co	21.76
04-25-01	04-25-01	Pfizer	51.70
04-26-01	05-21-01	Texas Instruments	1.06
05-02-01	05-29-01	Schering Plough Corp	12.80
05-03-01	05-25-01	Citigroup Inc	18.62
05-03-01	06-01-01	Intel Corp	2.60
05-09-01	05-30-01	Merrill Lynch & Co Inc	8.00
05-16-01	06-07-01	Pfizer	51.70
05-18-01	06-12-01	Johnson & Johnson	18.00
05-30-01	06-20-01	Enron Corp	4.75
06-05-01	06-29-01	Nortel Networks Corp.	1.54
06-08-01	06-19-01	I Shares DJ US Fincl Svcs	13.16
06-28-01	07-16-01	State Street Corp	5.40
06-28-01	08-01-01	Tyco International Ltd	1.28
07-03-01	08-10-01	American Express Co	6.32
07-03-01	07-31-01	J P Morgan Chase & Co	21.76
07-05-01	07-25-01	General Elec Co	8.96
07-06-01	08-01-01	SBC Communications Inc	18.96
07-27-01	08-20-01	Texas Instruments	1.06
08-01-01	08-22-01	Merrill Lynch & Co Inc	8.00
08-01-01	08-28-01	Schering Plough Corp	12.80
08-02-01	08-24-01	Citigroup Inc	11.04

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

INCOME AND EXPENSES

JIM NUSSLE

From 12-31-00 Through 12-31-01

Ex-Date	Pay-Date	Security	Amount
08-03-01	09-01-01	Intel Corp	2.60
08-15-01	09-06-01	Pfizer	51.70
08-16-01	09-10-01	Target Corp	5.12
08-17-01	09-11-01	Johnson & Johnson	18.00
08-30-01	09-20-01	Enron Corp	4.75
08-30-01	10-01-01	Merck & Co Inc	14.35
09-12-01	10-01-01	Automatic Data Processing	5.74
09-26-01	10-25-01	General Elec Co	8.96
09-26-01	10-15-01	Worldcom MCI Group	1.20
09-27-01	10-15-01	State Street Corp	5.40
09-27-01	11-01-01	Tyco International Ltd	1.28
10-03-01	11-09-01	American Express Co	6.32
10-03-01	10-31-01	J P Morgan Chase & Co	21.76
10-05-01	11-01-01	SBC Communications Inc	18.96
10-18-01	11-02-01	CVS Corp Delaware	4.14
10-29-01	11-19-01	Texas Instruments	1.06
10-31-01	11-21-01	Merrill Lynch & Co Inc	8.00
10-31-01	11-27-01	Schering Plough Corp	12.80
11-01-01	11-21-01	Citigroup Inc	11.04
11-05-01	12-01-01	Intel Corp	2.60
11-14-01	12-06-01	Pfizer	51.70
11-16-01	12-11-01	Johnson & Johnson	6.30
11-16-01	12-10-01	Target Corp	5.12
11-29-01	12-17-01	Dynegy Inc	2.03
12-05-01	01-02-02	Merck & Co Inc	14.35
12-12-01	01-01-02	Automatic Data Processing	6.44
12-27-01	01-25-02	General Elec Co	10.08
12-27-01	01-15-02	Worldcom MCI Group	1.20
12-28-01	01-15-02	State Street Corp	5.94
12-28-01	02-01-02	Tyco International Ltd	1.28
			701.06

AFTER FEE PERFORMANCE EXPENSE ACCOUNTS

12-31-00	12-31-00	Sci Advisory Fees	226.15
01-31-01	01-31-01	Sci Advisory Fees	250.20
02-28-01	02-28-01	Sci Advisory Fees	206.86
03-31-01	03-31-01	Sci Advisory Fees	225.24
04-30-01	04-30-01	Sci Advisory Fees	246.56
05-31-01	05-31-01	Sci Advisory Fees	243.39
06-30-01	06-30-01	Sci Advisory Fees	228.61
07-31-01	07-31-01	Sci Advisory Fees	229.58
08-31-01	08-31-01	Sci Advisory Fees	210.19
09-30-01	09-30-01	Sci Advisory Fees	195.15
10-31-01	10-31-01	Sci Advisory Fees	201.17
11-30-01	11-30-01	Sci Advisory Fees	219.31

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

INCOME AND EXPENSES

JIM NUSSLE

From 12-31-00 Through 12-31-01

Ex-Date	Pay-Date	Security	Amount
12-31-01	12-31-01	Sci Advisory Fees	213.25
			2,895.66
NET INCOME			**-1,472.49**

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PORTFOLIO APPRAISAL
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
December 31, 2001

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Cur. Yield
CASH AND EQUIVALENTS							
	Cash		3,581.00		3,581.00	8.8	1.5
			3,581.00		3,581.00	8.8	1.5
MUTUAL FUNDS							
Other							
24.124	Fidelity Spartan 500 Index	72.65	1,752.65	78.89	1,903.14	4.7	1.2
			1,752.65		1,903.14	4.7	1.2
Consumer Discretion							
32.179	Fidelity Leisure	62.39	2,007.77	63.45	2,041.76	5.0	0.0
26.091	Fidelity Select Retailing	44.35	1,157.15	42.13	1,099.21	2.7	0.0
			3,164.92		3,140.97	7.7	0.0
Consumer Staples							
100.739	Fidelity Select Consumer Industries	24.53	2,471.23	23.25	2,342.18	5.8	0.0
			2,471.23		2,342.18	5.8	0.0
Energy							
54.680	Fidelity Select Energy	21.69	1,186.01	23.33	1,275.68	3.1	0.6
			1,186.01		1,275.68	3.1	0.6
Financials							
67.994	Fidelity Select Banking Portfolio	34.44	2,342.04	33.21	2,258.08	5.6	1.8
28.451	Fidelity Select Brokerage & Investmeet Mgt.	39.43	1,121.93	44.42	1,263.79	3.1	0.3

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PORTFOLIO APPRAISAL
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
December 31, 2001

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Cur. Yield
22.822	Fidelity Select Financial Services	102.68	2,343.42	101.10	2,307.30	5.7	0.9
46.496	Fidelity Select Insurance	49.99	2,324.36	48.86	2,271.79	5.6	0.3
			8,131.75		8,100.97	19.9	0.9
Health Care							
12.256	Fidelity Select Biotechnology Portfolio	60.95	747.01	65.12	798.11	2.0	0.0
6.998	Fidelity Select Health Care	137.09	959.35	127.26	890.57	2.2	0.1
82.825	Fidelity Select Med Equip & Systems	15.18	1,257.28	16.56	1,371.58	3.4	0.0
77.627	Fidelity Select Medical Delivery	19.53	1,516.20	26.95	2,092.05	5.1	0.0
			4,479.84		5,152.31	12.7	0.0
Industrials							
111.462	Fidelity Select Cyclical Industries	14.60	1,627.83	14.88	1,658.55	4.1	0.0
37.194	Fidelity Select Industrial Equipment	20.28	754.29	22.56	839.10	2.1	0.0
29.578	Fidelity Select Transportation	26.21	775.23	29.31	866.93	2.1	0.0
			3,157.35		3,364.58	8.3	0.0
Information Technology							
371.976	Fidelity Sel Networking & Infrastructure	3.38	1,257.28	2.95	1,097.33	2.7	0.0
61.936	Fidelity Select Electronics	63.35	3,923.40	49.27	3,051.59	7.5	0.0

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PORTFOLIO APPRAISAL
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
December 31, 2001

Quantity	Security	Unit Cost	Total Cost	Price	Market Value	Pct. Assets	Cur. Yield
57.768	Fidelity Select Software and Computer Svcs	50.77	2,933.13	47.59	2,749.18	6.8	0.0
26.302	Fidelity Select Technology	73.70	1,938.37	60.60	1,593.90	3.9	0.0
			10,052.18		8,492.00	20.9	0.0
Materials							
33.837	Fidelity Select Industrial Materials	23.47	795.39	24.28	822.78	2.0	0.6
			795.39		822.78	2.0	0.6
Telecommunications							
64.637	Fidelity Select Develop Communications	25.70	1,660.90	18.90	1,221.64	3.0	0.0
226.661	Fidelity Select Wireless	5.31	1,203.57	5.43	1,230.77	3.0	0.0
			2,864.47		2,452.41	6.0	0.0
	MUTUAL FUNDS Total		38,055.78		37,047.02	91.2	0.3
TOTAL PORTFOLIO			41,636.78		40,628.02	100.0	0.4

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

REALIZED GAINS AND LOSSES
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 Through 12-31-01

Open Date	Close Date	Quantity	Security	Cost Basis	Proceeds	Gain Or Loss Short Term	Gain Or Loss Long Term
11-22-00	01-03-01	73.875	Fidelity Spartan 500 Index	6,824.59	6,809.80	-14.79	
11-28-00	01-03-01	12.896	Fidelity Spartan 500 Index	1,191.34	1,188.75	-2.59	
11-28-00	01-03-01	18.347	Fidelity Spartan 500 Index	1,694.92	1,691.23	-3.69	
11-30-00	01-03-01	26.964	Fidelity Spartan 500 Index	2,452.41	2,485.55	33.14	
12-01-00	01-03-01	35.697	Fidelity Spartan 500 Index	3,246.97	3,290.55	43.58	
12-01-00	01-03-01	44.332	Fidelity Spartan 500 Index	4,077.95	4,132.62	54.67	
12-08-00	01-03-01	1.514	Fidelity Spartan 500 Index	142.45	139.56	-2.89	
07-26-00	01-03-01	0.256	Fidelity Select Air Transportation	8.60	9.51	0.91	
10-31-00	01-03-01	0.354	Fidelity Select Consumer Industries	10.20	9.01	-1.19	
10-31-00	01-03-01	0.770	Fidelity Select Food & Agriculture	33.09	35.25	2.16	
03-13-00	01-03-01	23.049	Fidelity Select Financial Services	1,920.00	2,708.98	788.98	
04-04-00	01-03-01	15.007	Fidelity Select Financial Services	1,434.24	1,763.79	329.55	
11-28-00	01-03-01	65.789	Fidelity Spartan Extended Market Index	1,774.32	1,752.45	-21.87	
11-28-00	01-03-01	44.779	Fidelity Spartan Extended Market Index	1,207.69	1,192.80	-14.89	
11-28-00	01-03-01	97.518	Fidelity Spartan Extended Market Index	2,630.06	2,597.63	-32.43	
12-22-00	01-03-01	4.893	Fidelity Spartan Extended Market Index	131.09	130.34	-0.75	
12-22-00	01-03-01	1.398	Fidelity Spartan Extended Market Index	37.46	37.24	-0.22	
12-22-00	01-03-01	3.106	Fidelity Spartan Extended Market Index	83.23	82.73	-0.50	
04-12-00	01-08-01	12.620	Fidelity Select Medical Delivery	213.53	314.11	100.58	
04-12-00	01-08-01	51.183	Fidelity Select Medical Delivery	839.92	1,273.95	434.03	
07-07-00	01-08-01	10.228	Fidelity Select Medical Delivery	196.17	254.58	58.41	
12-11-00	01-08-01	47.236	Fidelity OTC Portfolio	2,426.51	1,785.99	-640.52	
12-22-00	01-08-01	0.894	Fidelity OTC Portfolio	37.32	33.80	-3.52	
01-03-01	01-08-01	4.350	Fidelity OTC Portfolio	181.45	164.48	-16.97	
07-25-00	01-10-01	32.100	Fidelity Select Air Transportation	1,078.24	1,148.22	69.98	
12-22-00	01-10-01	0.866	Fidelity Select Air Transportation	30.41	30.97	0.56	
12-22-00	01-10-01	0.322	Fidelity Select Air Transportation	11.32	11.52	0.20	
12-23-00	01-22-01	64.477	Fidelity Mid Cap Stock Fund	1,582.90	1,537.77	-45.13	
01-04-01	01-22-01	35.980	Fidelity Mid Cap Stock Fund	873.95	858.12	-15.83	
10-31-00	01-31-01	16.503	Fidelity Select Food & Agriculture	709.11	742.14	33.03	
12-15-00	01-31-01	0.137	Fidelity Select Food & Agriculture	6.22	6.16	-0.06	
01-04-01	02-01-01	213.384	Fidelity Mid Cap Stock Fund	5,183.09	5,208.71	25.62	
01-03-01	02-09-01	418.506	Fidelity Sel Networking & Infrastructure	2,632.40	2,230.64	-401.76	

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

REALIZED GAINS AND LOSSES
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 Through 12-31-01

Open Date	Close Date	Quantity	Security	Cost Basis	Proceeds	Gain Or Loss Short Term	Gain Or Loss Long Term
02-02-01	03-01-01	22.208	Fidelity Select Brokerage & Investment Mgt	1,279.17	1,070.53	-208.64	
01-19-01	03-09-01	30.451	Fidelity Select Multimedia Portfolio	1,347.14	1,267.98	-79.16	
01-19-01	03-09-01	22.267	Fidelity Select Multimedia Portfolio	1,015.62	927.20	-88.42	
01-04-01	03-12-01	197.228	Fidelity Mid Cap Stock Fund	4,790.66	4,703.89	-86.77	
03-01-01	06-12-01	13.166	Fidelity Select Utilities Growth	644.75	607.61	-37.14	
03-15-01	06-12-01	26.046	Fidelity Select Utilities Growth	1,233.81	1,202.02	-31.79	
04-06-01	06-12-01	0.824	Fidelity Select Utilities Growth	36.47	38.03	1.56	
01-03-01	07-06-01	26.378	Fidelity Select Electronics	1,654.69	1,271.97	-382.72	
04-04-00	07-10-01	0.876	Fidelity Select Financial Services	83.72	93.51		9.79
04-07-00	07-10-01	0.695	Fidelity Select Financial Services	64.24	74.19		9.95
04-07-00	07-10-01	0.051	Fidelity Select Financial Services	4.67	5.44		0.77
04-12-00	07-10-01	10.075	Fidelity Select Financial Services	957.81	1,075.48		117.67
01-22-01	07-12-01	31.290	Fidelity Select Biotechnology Portfolio	2,395.89	1,884.28	-511.61	
01-03-01	08-31-01	20.993	Fidelity Select Technology	1,950.45	1,196.80	-753.65	
03-01-01	08-31-01	22.520	Fidelity Select Transportation	644.75	662.76	18.01	
04-12-01	08-31-01	0.135	Fidelity Select Transportation	3.83	3.98	0.15	
04-12-01	08-31-01	0.048	Fidelity Select Transportation	1.35	1.41	0.06	
01-03-01	11-07-01	64.983	Fidelity Select Develop Communications	2,039.33	1,203.57	-835.76	
01-03-01	11-14-01	18.312	Fidelity Select Software and Computer Svcs	977.86	804.09	-173.77	
01-03-01	11-14-01	15.586	Fidelity Select Electronics	977.71	756.70	-221.01	
01-19-01	11-14-01	0.662	Fidelity Select Electronics	46.66	32.14	-14.52	
01-03-01	11-21-01	38.625	Fidelity Select Energy Service	1,385.47	984.16	-401.31	
03-15-01	11-21-01	31.350	Fidelity Select Energy Service	1,233.86	811.54	-422.32	
10-30-01	12-12-01	40.857	Fidelity Select Natural Gas	751.77	699.88	-51.89	
12-07-01	12-12-01	0.023	Fidelity Select Natural Gas	0.41	0.39	-0.02	
TOTAL GAINS						1,995.17	138.18
TOTAL LOSSES						-5,520.11	0.00
				70,425.26	67,038.50	-3,524.94	138.18

TOTAL REALIZED GAIN/LOSS -3,386.76

CAPITAL GAIN DISTRIBUTIONS

04-06-01	Fidelity Select Financial Services	2.26	
04-06-01	Fidelity Select Financial Services		43.31
04-06-01	Fidelity Select Software and Computer Svcs		11.83
04-06-01	Fidelity Select Health Care		1.33

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

REALIZED GAINS AND LOSSES
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 Through 12-31-01

Open Date	Close Date	Quantity	Security	Cost Basis	Proceeds	Gain Or Loss Short Term	Gain Or Loss Long Term
	04-06-01		Fidelity Select Utilities Growth				36.47
	04-12-01		Fidelity Select Consumer Industries				41.74
	04-12-01		Fidelity Select Insurance				13.85
	04-12-01		Fidelity Select Transportation			3.83	
	04-12-01		Fidelity Select Transportation				1.35
	04-12-01		Fidelity Select Retailing				22.84
	12-07-01		Fidelity Select Banking Portfolio				1.34
	12-14-01		Fidelity Select Financial Services				33.45
TOTAL DISTRIBUTIONS			214.60			7.09	207.51
TOTAL GAIN/LOSS			-3,172.16			-3,517.85	345.69

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PURCHASE AND SALE

JIM NUSSLE

INDUSTRY SELECT PORTFOLIO

From 12-31-00 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
PURCHASES					
01-10-01	01-10-01	18.870	Fidelity Leisure	63.10	1,190.71
11-19-01	11-20-01	13.309	Fidelity Leisure	61.39	817.06
01-04-01	01-05-01	446.592	Fidelity Mid Cap Stock Fund	24.29	10,847.71
01-03-01	01-04-01	4.350	Fidelity OTC Portfolio	41.71	181.45
01-03-01	01-04-01	418.506	Fidelity Sel Networking & Infrastructure	6.29	2,632.40
08-01-01	08-02-01	371.976	Fidelity Sel Networking & Infrastructure	3.38	1,257.28
01-03-01	01-04-01	66.990	Fidelity Select Banking Portfolio	34.47	2,309.13
01-22-01	01-22-01	31.290	Fidelity Select Biotechnology Portfolio	76.57	2,395.89
10-16-01	10-17-01	12.256	Fidelity Select Biotechnology Portfolio	60.95	747.01
02-02-01	02-05-01	22.208	Fidelity Select Brokerage & Investment Mgt	57.60	1,279.17
10-16-01	10-17-01	28.418	Fidelity Select Brokerage & Investment Mgt	39.43	1,120.51
12-21-01	12-24-01	69.459	Fidelity Select Consumer Industries	23.03	1,599.63
08-01-01	08-02-01	84.155	Fidelity Select Cyclical Industries	14.94	1,257.28
11-07-01	11-08-01	27.307	Fidelity Select Cyclical Industries	13.57	370.55
01-03-01	01-04-01	76.529	Fidelity Select Develop Communications	31.38	2,401.49
04-19-01	04-20-01	53.096	Fidelity Select Develop Communications	24.46	1,298.74
01-03-01	01-04-01	41.964	Fidelity Select Electronics	62.73	2,632.40
01-19-01	01-22-01	35.798	Fidelity Select Electronics	70.49	2,523.39
03-07-01	03-08-01	26.800	Fidelity Select Electronics	53.98	1,446.67
11-21-01	11-23-01	54.680	Fidelity Select Energy	21.69	1,186.01
01-03-01	01-04-01	38.625	Fidelity Select Energy Service	35.87	1,385.47
03-15-01	03-16-01	31.850	Fidelity Select Energy Service	38.74	1,233.86
04-19-01	04-20-01	11.718	Fidelity Select Financial Services	107.89	1,264.22
02-02-01	02-05-01	6.979	Fidelity Select Health Care	137.14	957.11
11-02-01	11-05-01	37.194	Fidelity Select Industrial Equipment	20.28	754.29
11-21-01	11-23-01	33.689	Fidelity Select Industrial Materials	23.47	790.67
01-03-01	01-04-01	46.164	Fidelity Select Insurance	50.02	2,309.13
08-01-01	08-02-01	82.825	Fidelity Select Med Equip & Systems	15.18	1,257.28
01-03-01	01-04-01	3.874	Fidelity Select Medical Delivery	26.23	101.61
01-19-01	01-22-01	30.451	Fidelity Select Multimedia Portfolio	44.24	1,347.14
01-19-01	01-22-01	22.267	Fidelity Select Multimedia Portfolio	45.61	1,015.62
10-30-01	10-31-01	40.857	Fidelity Select Natural Gas	18.40	751.77
01-31-01	01-31-01	15.538	Fidelity Select Retailing	48.16	748.30
11-07-01	11-08-01	9.995	Fidelity Select Retailing	38.62	386.01
01-03-01	01-04-01	49.296	Fidelity Select Software and Computer Svcs	53.40	2,632.40

SCI Capital Management
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PURCHASE AND SALE
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
04-19-01	04-20-01	26.451	Fidelity Select Software and Computer Svcs	47.89	1,266.76
01-03-01	01-04-01	28.333	Fidelity Select Technology	92.91	2,632.40
03-15-01	03-16-01	18.962	Fidelity Select Technology	66.26	1,256.42
03-01-01	03-02-01	22.520	Fidelity Select Transportation	28.63	644.75
11-07-01	11-08-01	29.578	Fidelity Select Transportation	26.21	775.23
03-01-01	03-02-01	13.166	Fidelity Select Utilities Growth	48.97	644.75
03-15-01	03-16-01	26.046	Fidelity Select Utilities Growth	47.37	1,233.81
11-07-01	11-07-01	226.661	Fidelity Select Wireless	5.31	1,203.57
10-02-01	10-03-01	24.044	Fidelity Spartan 500 Index	72.63	1,746.30
					67,833.35
REINVESTED DIVIDENDS					
04-12-01	04-12-01	0.228	Fidelity Select Banking Portfolio	32.32	7.37
12-07-01	12-07-01	0.735	Fidelity Select Banking Portfolio	32.93	24.20
12-07-01	12-07-01	0.041	Fidelity Select Banking Portfolio	32.68	1.34
12-21-01	12-21-01	0.033	Fidelity Select Brokerage & Investment Mgt	43.03	1.42
04-12-01	04-12-01	1.883	Fidelity Select Consumer Industries	22.17	41.74
04-06-01	04-06-01	0.032	Fidelity Select Financial Services	101.88	3.26
04-06-01	04-06-01	0.054	Fidelity Select Financial Services	100.74	5.44
04-06-01	04-06-01	0.429	Fidelity Select Financial Services	100.96	43.31
12-14-01	12-14-01	0.178	Fidelity Select Financial Services	97.70	17.39
12-14-01	12-14-01	0.343	Fidelity Select Financial Services	97.52	33.45
04-06-01	04-06-01	0.011	Fidelity Select Health Care	120.91	1.33
04-06-01	04-06-01	0.001	Fidelity Select Health Care	70.00	0.07
12-14-01	12-14-01	0.007	Fidelity Select Health Care	120.00	0.84
12-14-01	12-14-01	0.198	Fidelity Select Industrial Materials	23.84	4.72
04-12-01	04-12-01	0.302	Fidelity Select Insurance	45.86	13.85
04-12-01	04-12-01	0.030	Fidelity Select Insurance	46.00	1.38
12-07-01	12-07-01	0.023	Fidelity Select Natural Gas	17.83	0.41
04-12-01	04-12-01	0.558	Fidelity Select Retailing	40.93	22.84
04-06-01	04-06-01	0.333	Fidelity Select Software and Computer Svcs	35.53	11.83
04-12-01	04-12-01	0.135	Fidelity Select Transportation	28.37	3.83
04-12-01	04-12-01	0.048	Fidelity Select Transportation	28.13	1.35
04-06-01	04-06-01	0.824	Fidelity Select Utilities Growth	44.26	36.47
12-07-01	12-07-01	0.080	Fidelity Spartan 500 Index	79.38	6.35
					284.19
SALES					
01-22-01	01-22-01	64.477	Fidelity Mid Cap Stock Fund	23.85	1,537.77
01-22-01	01-22-01	35.980	Fidelity Mid Cap Stock Fund	23.85	858.12

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PURCHASE AND SALE
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
02-01-01	02-02-01	213.384	Fidelity Mid Cap Stock Fund	24.41	5,208.71
03-12-01	03-13-01	197.228	Fidelity Mid Cap Stock Fund	23.85	4,703.89
01-08-01	01-09-01	47.236	Fidelity OTC Portfolio	37.81	1,785.99
01-08-01	01-09-01	0.894	Fidelity OTC Portfolio	37.81	33.80
01-08-01	01-09-01	4.350	Fidelity OTC Portfolio	37.81	164.48
02-09-01	02-12-01	418.506	Fidelity Sel Networking & Infrastructure	5.33	2,230.64
01-03-01	01-04-01	0.256	Fidelity Select Air Transportation	37.15	9.51
01-10-01	01-10-01	32.100	Fidelity Select Air Transportation	35.77	1,148.22
01-10-01	01-10-01	0.866	Fidelity Select Air Transportation	35.76	30.97
01-10-01	01-10-01	0.322	Fidelity Select Air Transportation	35.78	11.52
07-12-01	07-13-01	31.290	Fidelity Select Biotechnology Portfolio	60.22	1,884.28
03-01-01	03-02-01	22.208	Fidelity Select Brokerage & Investment Mgt	48.20	1,070.53
01-03-01	01-04-01	0.354	Fidelity Select Consumer Industries	25.45	9.01
11-07-01	11-07-01	64.988	Fidelity Select Develop Communications	18.52	1,203.57
07-06-01	07-09-01	26.378	Fidelity Select Electronics	48.22	1,271.97
11-14-01	11-15-01	15.586	Fidelity Select Electronics	48.55	756.70
11-14-01	11-15-01	0.662	Fidelity Select Electronics	48.55	32.14
11-21-01	11-23-01	38.625	Fidelity Select Energy Service	25.48	984.16
11-21-01	11-23-01	31.850	Fidelity Select Energy Service	25.48	811.54
01-03-01	01-04-01	23.049	Fidelity Select Financial Services	117.53	2,708.98
01-03-01	01-04-01	15.007	Fidelity Select Financial Services	117.53	1,763.79
07-10-01	07-11-01	0.876	Fidelity Select Financial Services	106.75	93.51
07-10-01	07-11-01	0.695	Fidelity Select Financial Services	106.75	74.19
07-10-01	07-11-01	0.051	Fidelity Select Financial Services	106.67	5.44
07-10-01	07-11-01	10.075	Fidelity Select Financial Services	106.75	1,075.48
01-03-01	01-04-01	0.770	Fidelity Select Food & Agriculture	45.78	35.25
01-31-01	01-31-01	16.503	Fidelity Select Food & Agriculture	44.97	742.14
01-31-01	01-31-01	0.137	Fidelity Select Food & Agriculture	44.96	6.16
01-08-01	01-09-01	12.620	Fidelity Select Medical Delivery	24.89	314.11
01-08-01	01-09-01	51.183	Fidelity Select Medical Delivery	24.89	1,273.95
01-08-01	01-09-01	10.228	Fidelity Select Medical Delivery	24.89	254.58
03-09-01	03-12-01	30.451	Fidelity Select Multimedia Portfolio	41.64	1,267.98
03-09-01	03-12-01	22.267	Fidelity Select Multimedia Portfolio	41.64	927.20
12-12-01	12-13-01	40.857	Fidelity Select Natural Gas	17.13	699.88
12-12-01	12-13-01	0.023	Fidelity Select Natural Gas	16.96	0.39
11-14-01	11-15-01	18.312	Fidelity Select Software and Computer Svcs	43.91	804.09
08-31-01	09-04-01	20.993	Fidelity Select Technology	57.01	1,196.80
08-31-01	09-04-01	22.520	Fidelity Select Transportation	29.43	662.76
08-31-01	09-04-01	0.135	Fidelity Select Transportation	29.48	3.98

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

PURCHASE AND SALE
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 To 12-31-01

Trade Date	Settle Date	Quantity	Security	Unit Price	Amount
08-31-01	09-04-01	0.048	Fidelity Select Transportation	29.33	1.41
06-12-01	06-13-01	13.166	Fidelity Select Utilities Growth	46.15	607.61
06-12-01	06-13-01	26.046	Fidelity Select Utilities Growth	46.15	1,202.02
06-12-01	06-13-01	0.824	Fidelity Select Utilities Growth	46.15	38.03
01-03-01	01-04-01	73.875	Fidelity Spartan 500 Index	92.18	6,809.80
01-03-01	01-04-01	12.896	Fidelity Spartan 500 Index	92.18	1,188.75
01-03-01	01-04-01	18.347	Fidelity Spartan 500 Index	92.18	1,691.23
01-03-01	01-04-01	26.964	Fidelity Spartan 500 Index	92.18	2,485.55
01-03-01	01-04-01	35.697	Fidelity Spartan 500 Index	92.18	3,290.55
01-03-01	01-04-01	44.832	Fidelity Spartan 500 Index	92.18	4,132.62
01-03-01	01-04-01	1.514	Fidelity Spartan 500 Index	92.18	139.56
01-03-01	01-04-01	65.789	Fidelity Spartan Extended Market Index	26.64	1,752.45
01-03-01	01-04-01	44.779	Fidelity Spartan Extended Market Index	26.64	1,192.80
01-03-01	01-04-01	97.518	Fidelity Spartan Extended Market Index	26.64	2,597.63
01-03-01	01-04-01	4.893	Fidelity Spartan Extended Market Index	26.64	130.34
01-03-01	01-04-01	1.398	Fidelity Spartan Extended Market Index	26.64	37.24
01-03-01	01-04-01	3.106	Fidelity Spartan Extended Market Index	26.64	82.73
					67,038.50

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

INCOME AND EXPENSES
JIM NUSSLE
INDUSTRY SELECT PORTFOLIO
From 12-31-00 Through 12-31-01

Ex-Date	Pay-Date	Security	Amount
CASH AND EQUIVALENTS			
01-31-01	01-31-01	Cash	25.68
02-28-01	02-28-01	Cash	23.05
03-30-01	03-30-01	Cash	34.97
04-30-01	04-30-01	Cash	28.02
05-31-01	05-31-01	Cash	15.63
06-29-01	06-29-01	Cash	15.21
07-31-01	07-31-01	Cash	22.17
08-31-01	08-31-01	Cash	16.93
09-28-01	09-28-01	Cash	17.09
10-31-01	10-31-01	Cash	7.52
11-30-01	11-30-01	Cash	1.61
12-31-01	12-31-01	Cash	0.54
			208.42
MUTUAL FUNDS			
04-06-01	04-06-01	Fidelity Select Financial Services	43.31
04-06-01	04-06-01	Fidelity Select Financial Services	3.26
04-06-01	04-06-01	Fidelity Select Financial Services	5.44
04-06-01	04-06-01	Fidelity Select Software and Computer Svcs	11.83
04-06-01	04-06-01	Fidelity Select Health Care	1.33
04-06-01	04-06-01	Fidelity Select Health Care	0.07
04-06-01	04-06-01	Fidelity Select Utilities Growth	36.47
04-12-01	04-12-01	Fidelity Select Consumer Industries	41.74
04-12-01	04-12-01	Fidelity Select Insurance	13.85
04-12-01	04-12-01	Fidelity Select Insurance	1.38
04-12-01	04-12-01	Fidelity Select Banking Portfolio	7.37
04-12-01	04-12-01	Fidelity Select Transportation	1.35
04-12-01	04-12-01	Fidelity Select Transportation	3.83
04-12-01	04-12-01	Fidelity Select Retailing	22.84
12-07-01	12-07-01	Fidelity Spartan 500 Index	6.35
12-07-01	12-07-01	Fidelity Select Natural Gas	0.41
12-07-01	12-07-01	Fidelity Select Banking Portfolio	1.34
12-07-01	12-07-01	Fidelity Select Banking Portfolio	24.20
12-14-01	12-14-01	Fidelity Select Financial Services	33.45
12-14-01	12-14-01	Fidelity Select Financial Services	17.39
12-14-01	12-14-01	Fidelity Select Industrial Materials	4.72
12-14-01	12-14-01	Fidelity Select Health Care	0.84
12-21-01	12-21-01	Fidelity Select Brokerage & Investment Mgt	1.42
			284.19
AFTER FEE PERFORMANCE EXPENSE ACCOUNTS			
12-31-00	12-31-00	Sci Advisory Fees	69.52
01-31-01	01-31-01	Sci Advisory Fees	69.79

SCI Capital Management
A non-bank affiliate of Wells Fargo & Company

INCOME AND EXPENSES

JIM NUSSLE

INDUSTRY SELECT PORTFOLIO

From 12-31-00 Through 12-31-01

Ex-Date	Pay-Date	Security	Amount
02-28-01	02-28-01	Sci Advisory Fees	62.68
03-31-01	03-31-01	Sci Advisory Fees	58.45
04-30-01	04-30-01	Sci Advisory Fees	63.91
05-31-01	05-31-01	Sci Advisory Fees	63.48
06-30-01	06-30-01	Sci Advisory Fees	63.18
07-31-01	07-31-01	Sci Advisory Fees	61.12
08-31-01	08-31-01	Sci Advisory Fees	57.24
09-30-01	09-30-01	Sci Advisory Fees	51.50
10-31-01	10-31-01	Sci Advisory Fees	54.06
11-30-01	11-30-01	Sci Advisory Fees	58.20
12-31-01	12-31-01	Sci Advisory Fees	59.25
			792.38
NET INCOME			-299.77

HAND DELIVERED

(21)

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HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

James Louis Oberstar
(Full Name)

2365 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202/225-6211
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives — State: MN District: 8	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☑ No ☐
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☑ No ☐

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	James L. Oberstar	6.12.02

3454

SCHEDULE I - EARNED INCOME

Name James Louis Oberstar

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
JKO, Inc.	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Cong. Federal Credit Union	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
	Cong. Federal Credit Union (IRA)	$1,001 - $15,000	INTEREST	$1 - $200	
	Chevy Chase Bank (IRA)	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Great Hall US Govt.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	John Hancock Reg. Bk. Fd	$50,001 - $100,000	DIVIDENDS	$5,001 - $15,000	P
SP	Pimco Renaissance	$250,001 - $500,000	DIVIDENDS	$15,001 - $50,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	JP Morgan Growth and Income	None	DIVIDENDS		S
SP	Smith Barney Managed Municipal Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	1916 17th St., NW Washington, DC (50%)	$50,001 - $100,000	RENT	$2,501 - $5,000	Other: Transferred from excepted trust
SP	Felicity St. Charles LLC	$15,001 - $50,000	RENT	$5,001 - $15,000	
SP	2402 37th St., NW Washington, DC (50%)	$100,001 - $250,000	RENT	$15,001 - $50,000	
SP	Paine Webber Cash Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Scudder High Yield (formerly Kemper)	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Zurich Money Market	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	St. Tammany Land Louisiana		EXCEPTED ASSET	NONE	
SP	Penn National Gaming	None	CAPITAL GAINS	$15,001 - $50,000	S
SP	Fedders Corp. Class A	None	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	DAL Tile Int'l	None	CAPITAL GAINS	$5,001 - $15,000	S
SP	3TEC Engergy Corp.	None	CAPITAL GAINS	$1,001 - $2,500	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	Command Money Fund	None	DIVIDENDS	$201 - $1,000	S
SP	John Hancock Reg. Bk. Fd	$100,001 - $250,000	DIVIDENDS	$15,001 - $50,000	
SP	Pioneer Growth	$50,001 - $100,000	DIVIDENDS	NONE	
SP	Intermune, Inc.	$15,001 - $50,000			P
SP	Johnson & Johnson	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Lucent Technologies	$1,001 - $15,000			P
SP	MTR Gaming Group	$15,001 - $50,000			P
SP	Saul Centers, Inc.	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Scottish Annuity & Life	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	Xicor Inc.	$15,001 - $50,000			
SP	Command Money Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Hilton Hotels	None	INTEREST/CAPITAL GAINS/Other: (Please specify): Loss	$1 - $200	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	Rite Aid Corp.	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	PS
SP	Pharmaceutical Resources	$50,001 - $100,000	CAPITAL GAINS	$50,001 - $100,000	S
SP	Frisby Technologies	None	CAPITAL GAINS	NONE	S
SP	Penn Natl Gaming	None	CAPITAL GAINS	$5,001 - $15,000	S
SP	Pharmaceutical Resources	$15,001 - $50,000	CAPITAL GAINS	$50,001 - $100,000	S
SP	Arena Pharmaceuticals	$15,001 - $50,000			P
SP	Corixa Corp.	$15,001 - $50,000	CAPITAL GAINS	NONE (loss)	PS
SP	Digene Corp.	$15,001 - $50,000			P
SP	Intermune, Inc.	$50,001 - $100,000			P
SP	Iron Mountain	$15,001 - $50,000	CAPITAL GAINS	$15,001 - $50,000	S
SP	Lucent Technologies	$15,001 - $50,000			P
SP	Pharmaceutical Resources	$50,001 - $100,000	CAPITAL GAINS	$15,001 - $50,000	S
SP	Prudential Financial, Inc.	$15,001 - $50,000			P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	Saul Centers	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
SP	Scottish Annuity & Life	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	P
SP	Xerox Corp.	$50,001 - $100,000			P
SP	Xicor Inc.	$50,001 - $100,000			P
SP	Command Money Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Arch Comm Gp	None	CAPITAL GAINS (loss)	NONE	S
SP	C&D Technologies	None	DIVIDENDS/CAPITAL GAINS	$50,001 - $100,000	S
SP	St. Mary Land Exploration	None	DIVIDENDS/CAPITAL GAINS/Other: (Please specify): Loss	NONE	S
SP	Tasty Bakery	None	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	PS
SP	Peregine	None	CAPITAL GAINS	$5,001 - $15,000	PS
SP	Rite Aid Corp.	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	PS
SP	Unit Corp.	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	Prudential Jennison Intl	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	S
SP	3Tec Energy Corp.	None	CAPITAL GAINS	$1 - $200	S
SP	Kurth & Co. Money Purchase Fund	$1,000,001 - $5,000,000	N/A	N/A	
SP	Kurth & Co. Benefit Retirement	$500,001 - $1,000,000	N/A	N/A	
SP	Kurth Qtip A Trust		EXCEPTED TRUST/DIVIDENDS/RENT	$5,001 - $15,000	
SP	Kurth ByPass Trust		EXCEPTED TRUST/DIVIDENDS	$5,001 - $15,000	
SP	Arena Pharmaceuticals	$15,001 - $50,000	CAPITAL GAINS		P
SP	Cepheid, Inc.	$15,001 - $50,000	CAPITAL GAINS		P
SP	Digene	$50,001 - $100,000			P
SP	Intermune	$50,001 - $100,000			P
SP	Iron Mountain	$50,001 - $100,000			
SP	Johnson & Johnson	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
SP	Lucent Technologies	$15,001 - $50,000			P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	MTR Gaming Group	$50,001 - $100,000			P
SP	Reptron Electronics	$15,001 - $50,000	None	NONE	
SP	Scottish Annuity & Life Holdings	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	P
SP	Xerox	$50,001 - $100,000			P
SP	Xicor	$50,001 - $100,000			
SP	Safeway Inc. Sr. Subordinated Debentures	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	Hilton Hotels Corp.	None	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
SP	Apple Computer	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	PS
SP	DAL Tile Intl, Inc.	None	CAPITAL GAINS	$2,501 - $5,000	S
SP	Rite Aid Corp.	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	PS
SP	Midcoast Energy Resources	None	DIVIDENDS/CAPITAL GAINS	$15,001 - $50,000	S
SP	Vitesse Semiconductor	None	CAPITAL GAINS	$50,001 - $100,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	Prudential Jennison Intl Growth Fund B	None	CAPITAL GAINS/Other: (Please specify): Loss	NONE	S
SP	Cott Corp.	$15,001 - $50,000	CAPITAL GAINS	NONE	P
SP	Arena Pharmaceuticals	$1,001 - $15,000			P
SP	Digene	$15,001 - $50,000			P
SP	Intermune, Inc.	$15,001 - $50,000			P
SP	Johnson & Johnson	$50,001 - $100,000	DIVIDENDS	$1 - $200	
SP	Prudential Financial	$15,001 - $50,000			P
SP	Reptor Electronics	$1,001 - $15,000			
SP	Saul Centers	$15,001 - $50,000			
SP	Scottish Annuity & Life Holdings	$50,001 - $100,000	DIVIDENDS	$1 - $200	P
SP	Stevens Intl Inc. Class A	$1 - $1,000			
SP	Command Money Fund	$1 - $1,000	DIVIDENDS	$1 - $200	
SP	Hilton Hotels	None			S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Louis Oberstar

SP	Penn Natl Gaming	None			S
SP	Rite Aid Corp.	None			PS
	Command Money Fund	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	P
	Smith Barney Managed Municipal Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	Smith Barney Municipal High Income Fund	$1 - $1,000	DIVIDENDS	$201 - $1,000	P
SP	Smith Barney Municipal High Income Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Hilton Hotels	S	4/23/01	$15,001 - $50,000
SP	Apple Computer	S	7/27/01	$15,001 - $50,000
SP	DAL Title Intl Inc.	S	9/6/01	$1,001 - $15,000
SP	Rite Aid Corp.	S	10/25/01	$15,001 - $50,000
SP	Midcoast Energy Resources	S	4/02/01	$50,001 - $100,000
SP	Vitesse Semiconductor Corp.	S	4/23/01	$50,001 - $100,000
SP	Prudential Jennison Int'l Growth Fund B	S	6/01/01	$15,001 - $50,000
SP	Penn National Gaming	S	10/24/01	$50,001 - $100,000
SP	Fedders Corp. Class A	S	10/24/01	$1,001 - $15,000
SP	DAL Title Intl	S	11/27/01	$15,001 - $50,000
SP	3Tec Energy Corp.	S	11/27/01	$15,001 - $50,000
SP	Scottish Annuity & Life Holdings, Ltd.	P	7/30/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Intermune	P	10/23/01	$15,001 - $50,000
SP	Lucent Technologies	P	11/27/01	$1,001 - $15,000
SP	MTR Gaming Group, Inc.	P	4/27/01	$1,001 - $15,000
SP	Rite Aid Corp.	P	5/30/01	$15,001 - $50,000
SP	Frisby Technologies Inc.	S	10/23/01	$1,001 - $15,000
SP	Hilton Hotels	S	4/24/01	$1,001 - $15,000
SP	Penn National	S	10/26/01	$15,001 - $50,000
SP	Pharmaceutical Resources	S	5/30/01 7/30/01 10/23/01	$100,001 - $250,000
SP	Rite Aid Corp.	S	10/26/01	$1,001 - $15,000
SP	Scottish Annuity & Life Holdings Ltd.	P	6/8/01 7/30/01 10/24/01	$15,001 - $50,000
SP	Apple Computer	P	4/05/01 4/23/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Arena Pharmaceuticals	P	10/24/01 11/27/01	$15,001 - $50,000
SP	Cepheid, Inc.	P	6/5/01 5/31/01	$1,001 - $15,000
SP	Cott Corp.	P	2/26/01	$15,001 - $50,000
SP	Digene Corp.	P	4/24/01	$15,001 - $50,000
SP	Intermune, Inc.	P	7/27/01 10/29/01	$15,001 - $50,000
SP	Lucent Technologies	P	11/27/01	$15,001 - $50,000
SP	MTR Gaming Group Inc.	P	4/24/01	$15,001 - $50,000
SP	Rite Aid Corp.	P	6/1/01	$15,001 - $50,000
SP	Peregrine Systems	S	7/30/01	$15,001 - $50,000
SP	St. Mary Land Exploration	S	7/30/01	$15,001 - $50,000
SP	Corixa	S	9/10/01	$1,001 - $15,000
SP	Rite Aid Corp.	S	10/23/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Tasty Bakery	S	11/27/01	$15,001 - $50,000
SP	Unit Corp.	S	12/12/01	$15,001 - $50,000
SP	Iron Mountain	S	1/11/01	$15,001 - $50,000
SP	C & D Technologies	S	2/26/01	$50,001 - $100,000
SP	Pharmaceutical Resouces	S	5/31/01 6/8/01	$100,001 - $250,000
SP	3Tec Energy Corp.	S	11/27/01	$15,001 - $50,000
SP	Scottish Annuity & Life	P	1/11/01	$15,001 - $50,000
SP	Arena Pharmaceutical	P	10/23/01	$15,001 - $50,000
SP	Corixa	P	5/3/01	$15,001 - $50,000
SP	Digene Corp	P	7/30/01	$15,001 - $50,000
SP	Intermune	P	7/30/01 10/23/01	$50,001 - $100,000
SP	Lucent Technologies	P	11/27/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Peregrine Systems	P	4/30/01	$1,001 - $15,000
SP	Prudential Financial	P	12/18/01	$15,001 - $50,000
SP	Rite Aid Corp.	P	6/4/01 6/6/01	$50,001 - $100,000
SP	Tasty Bakery	P	2/26/01	$15,001 - $50,000
SP	Unit Corp.	P	8/2/01 10/26/01	$15,001 - $50,000
SP	Xerox Corp.	P	11/30/01	$15,001 - $50,000
SP	Xicor Inc.	P	6/1/01 6/4/01	$15,001 - $50,000
SP	J.P. Morgan Growth & Inc.	S	11/27/01	$250,001 - $500,000
SP	John Hancock Reg. Bank Fd	P	Dividend Reinvestment	$1,001 - $15,000
SP	Pimco Renaissance	P	Dividend Reinvestment	$15,001 - $50,000
SP	Smith Barney Managed Municipal Fd.	P	Dividend Reinvestment	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Pharmaceutical Resources	S	5/31/01 6/8/01 7/30/01	$100,001 - $250,000
SP	Hilton Hotels Corp.	S	7/26/01	$15,001 - $50,000
SP	Penn Natl Gaming	S	10/23/01	$15,001 - $50,000
SP	3Tec Energy Corp.	S	11/27/01	$1,001 - $15,000
SP	Prudential Financial	P	12/18/01	$15,001 - $50,000
SP	Scottish Annuity & Life Holdings	P	7/30/01	$15,001 - $50,000
SP	Scottish Annuity & Life Holdings	P	10/26/01	$15,001 - $50,000
SP	Arena Pharmaceuticals	P	10/24/01	$1,001 - $15,000
SP	Digene Corp.	P	8/2/01	$15,001 - $50,000
SP	Intermune Inc.	P	10/23/01	$15,001 - $50,000
SP	Rite Aid	P	6/4/01 8/3/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name James Louis Oberstar

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Rite Aid	S	11/30/01	$15,001 - $50,000
	Command Money Fund	P	Dividend Reinvestment	$1,001 - $15,000
	Smith Barney Managed Municipal Fd	P	Dividend Reinvestment	$1,001 - $15,000
	John Hancock Reg. Bank Fund	P	Dividend Reinvestment	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name James Louis Oberstar

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Washington Mutual Milwaukee, WI	50% mortgage: 1916 17th St., Wash, DC	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name James Louis Oberstar

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
San Jose State University (IISTPS)	June 29-July 3	Wash., DC-San Jose/Sacramento, CA-Minneapolis, MN	Y	Y	N	2 days
Aspen Institute	Aug. 19-26	Wash., DC-Helsinki, Finland-Wash., DC	Y	Y	Y	N/A
Rails to Trails Conservancy	Sept. 28-29	Wash., DC-St. Louis, MO-Wash., DC	Y	Y	N	N/A
General Aviation Manufacturers Assn.	Nov. 9-12	Wash., DC-San Diego, CA-Wash., DC	Y	Y	Y	1 day

SCHEDULE VIII - POSITIONS

Name James Louis Oberstar

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Honorary Board Member	George Washington Univeristy Medical Center, Cancer Center Advisory Board
Board of Trustees (Position by Federal Statute)	John F. Kennedy Center for the Performing Arts
Board of Trustees (Position by Federal Statute)	Int'l Institute for Surface Transportation Policy Studies (IISTPS)

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

David R. Obey
(Full Name)

2314 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

(202) 225-3365
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representative	State: WI District 07	☐ Officer Or Employee — Employing Office
Report Type	(☑) Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-14-02

3475

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David R. Obey

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Fidelity Trust	$15,001 - $50,000	(IRA)	NONE	
	The Vandguard Group	$1,001 - $15,000	(Roth IRA)	NONE	
SP	First Union National Bank	$1,001 - $15,000	(IRA)	NONE	
SP	The Vandguard Group	$1,001 - $15,000	(IRA)	NONE	
SP	The Vandguard Group	$1,001 - $15,000	(Roth IRA)	NONE	
SP	U.S. Savings Bond Series EE	$1,001 - $15,000	(No Income Yet Derived)	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David R. Obey

JT	Wright-Patman Congressional Federal Credit Union	$1 - $1,000	INTEREST	$201 - $1,000	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name David R. Obey

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute (Conference on U.S. Policy Toward Cuba)	Jan. 12-17, 2001	Wash., D.C.-Grand Cayman Islands-Wash., D.C.	Y	Y	Y	N/A
Aspen Institute (Conference on Education)	Feb. 16-19, 2001	Wash., D.C.-St. Petersburg, FL-Wash., D.C.	Y	Y	Y	N/A
Aspen Institute (Conference on the Global Environment)	May 29-June 3, 2001	Wash., D.C.-Florence, Italy-Wash., D.C.	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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2002 MAY -6 PM 3:44
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U.S. HOUSE OF REPRESENTATIVES
INSIDE MAIL
(Office Use Only)

(E)

MC

John Walter Olver
(Full Name)

P.O. Box 28 Amherst, MA 01004
(Mailing Address)

(202) 225-5335
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives — State: MA District: 01	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐	
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑	
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑	
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐	
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions–	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	John W. Olver	2 May 02

SCHEDULE I - EARNED INCOME

Name John Walter Oiver

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Amherst College – Amherst, MA	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Walter Oliver

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	120 acres of unimproved land at 117 Central Street, Plainfield, MA	$50,001 - $100,000		NONE	
JT	25 acres of unimproved land on Beachlake, Berlin Township, PA	$50,001 - $100,000		NONE	
JT	27 acres of unimproved land on Buffam Road, Pelham, MA	$50,001 - $100,000		NONE	
JT	33 Myrtle Street, Boston, MA	$50,001 - $100,000	RENT	$5,001 - $15,000	
JT	45 acres of unimproved land on Valley Road, Pelham, MA	$15,001 - $50,000		NONE	
JT	AMCAP Fund	$1,001 - $15,000	DIVIDENDS, CAPITAL GAINS	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Walter Olver

JT	Canada Southern Petroleum, Ltd.	$1,001 - $15,000		NONE	
JT	Carlyle Real Estate, Ltd.	$1,001 - $15,000	INTEREST, CAPITAL GAINS	$201 - $1,000	
JT	CMGI, Inc stock	$1 - $1,000		NONE	
JT	Compaq Computer Corporation stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Daily Cash Accumulation Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Eastman Kodak Company stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Fleet Bank, 1 South Pleasant Street, Amherst, MA	$15,001 - $50,000	INTEREST	$201 - $1,000	
JT	Internet Capital stock	$1 - $1,000		NONE	
JT	Magellan Petroleum Corp.	$1 - $1,000		NONE	
SP	Massachusetts Finance Agency bonds	$1,001 - $15,000	INTEREST	$1 - $200	
	Massachusetts state employee pension	$100,001 - $250,000	PENSION	$15,001 - $50,000	
SP	Massachusetts Water Resources bonds	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Pharmacia Corporation stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Scudder Northeast Mutual Fund	$1,001 - $15,000	DIVIDENDS, CAPITAL GAINS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Walter Olver

JT	Terra Lycos, SA stock	$1,001 - $15,000		NONE	
SP	Texas Instruments, Inc stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE V - LIABILITIES

Name John Walter Olver

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Greenfield Savings Bank – Greenfield, MA	Mortgage on 33 Myrtle Street, Boston, MA	$15,001 - $50,000

SCHEDULE VIII - POSITIONS

Name John Walter Olver

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Vice President	Americans for Democratic Action, 1625 K Street, NW, Washington, DC 20006
Alumni Representative	M.I.T. Visiting Committee for the Department of Political Science, Massachusetts Institute of Technology, 77 Massachusetts Avenue, Cambridge, MA 02139

SCHEDULE IX - AGREEMENTS

Name John Walter Olver

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
6/14/91	Massachusetts State Employee Life Insurance Program	Continuing benefits as a state employee
6/14/91	Massachusetts State Employee Retirement Program	Retirement effective: November 20, 1992

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(9)

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:59
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Solomon Porfirio Ortiz
(Full Name)

2304 Rayburn House Office Building, Washington, D.C. 20515
(Mailing Address)

Daytime Telephone
202/225-7742

Filer Status	[X] Member of the U.S. House of Representatives	State: Texas District: 27	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Solomon Ortiz	May 13, 2002

3487

Name	Solomon Porfirio Ortiz	Page 1 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Texas County and District Retirement System	Retirement	$31,669.20

For payments to charity in lieu of honoraria, use Schedule II.

Name Solomon Porfirio Ortiz	Page 2 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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Name Solomon Porfirio Ortiz | Page 3 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	A: $1 - $1,000	B: $1,001 - $15,000	C: $15,001 - $50,000	D: $50,001 - $100,000	E: $100,001 - $250,000	F: $250,001 - $500,000	G: $500,001 - $1,000,000	H: $1,000,001 - $5,000,000	I: $5,000,001 - $25,000,000	J: $25,000,001 - $50,000,000	K: Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: None	I: $1 - $200	II: $201 - $1,000	III: $1,001 - $2,500	IV: $2,501 - $5,000	V: $5,001 - $15,000	VI: $15,001 - $50,000	VII: $50,001 - $100,000	VIII: $100,001 - $1,000,000	IX: $1,000,001 - $5,000,000	X: Over $5,000,000	XI	Block E: P, S, or E
SP	Mega Corp. Stock					X								X										X									P
DC, *Examples:*	Simon & Schuster			Indefinite																Royalties								X					
JT	1st Bank of Paducah, KY accounts						X									X										X							
	Unit 511W 1250 4th St SW Wash DC					X									X											X							
	Amtex Security, Inc. Corpus Christi, TX					X								X													X						
	Wright Patman Cong Federal Credit Union				X											X								X									
	Unimproved lots (3) in Robstown, TX			X																none	X												
JT	2104 Lago Viejo South Rancho Viejo, TX *				X										X											X							
JT	1011 Ennis Joslin Unit 108 Corpus Christi, TX **				X										X						X												

* Last year the address was given as "4601 Carmen Unit 2104, Corpus Christi, TX" but this is the legal address.

For additional assets and unearned income, use next page.

** This property is occupied by a member of the family who is paying no rent, thus no income.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Solomon Porfirio Ortiz

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Van Kampen Funds Pace Fund A - IRA				X									X			X				X											
	AXA Financial, Inc.			X										X							X											
	Equitable non-qualified annuity						X													none	X											
	Equitable - IRA				X															none	X											
	PLM Equipment Growth Fund II (lease of equipment in California)		X											X									X									
	Promunet, Inc.			X																none												none

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Name Solomon Porfirio Ortiz | Page 5 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	None														

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Name Solomon Porfirio Ortiz | Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Wells Fargo Bank, N.A. Corpus Christi, Texas	Line of credit to Amtex			X							
	(last year this creditor was listed as	Security, Inc.										
	"Mercantile Bank," but the bank changed											
	names and is now Wells Fargo NA.)											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name Solomon Porfirio Ortiz | Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Singapore Technologies Engineering and Dai Nisshin Corporation	Jan 28 - Feb 4	Corpus Christi - Tokyo - Singapore - Tokyo - Corpus Christi	Y	Y	N	N
Chinese National Association of Industry & Commerce	May 26 - June 2	Corpus Christi - Los Angeles - Taipei - Los Angeles - Corpus Christi	Y	Y	N	N

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Name Solomon Porfirio Ortiz	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Amtex Security, Inc. - Corpus Christi, Texas
Board Member	Congressional Hispanic Caucus Institute
Board Member	Overcoming Obstacles
Board Member	National Association of Latino Elected Officials

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(11)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12: 15
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Dr Thomas W. Osborne
(Full Name)

5400 Trotter Road
Lincoln, Nebraska 68521
(Mailing Address)

Daytime Telephone: 202-225-8688

Filer Status	[X] Member of the U.S. House of Representatives	State: Nebraska District: 3rd	[ ] Officer or Employee — Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INQUIRIES — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tom Osborne	5/15/02

3496

Name Dr Thomas W. Osborne	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$8,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Michael T. Osborne - Husker Season Ticket Video	Royalties	1394

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Thomas Osborne

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset (A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000)	Block C: Type of Income (DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income))	Block D: Amount of Income (I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000)	Block E: Transaction (P, S, E)
SP, DC, JT	*Examples:* SP Mega Corp. Stock	X	X		P
	Simon & Schuster	Indefinite	Royalties	X	
	1st Bank of Paducah, KY accounts	X	X	X	
	AMGEN	X		X	
	AOL Time Warner	X		X	
	AXA	X	X	X	
	Bank Of New York	X	X	X	
	Berkshire Hathaway	X		X	
	Checkpoint Software	X		X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Cisco			X																	X											
	Citigroup				X									X								X										
	Clear Channel Commun.				X																X											
	Commonwealth Telephone Int						X														X											
	El Paso Corp.			X										X									X									
	Federal Home Loan Mtg.			X										X								X										
	Fifth Third Bankcorp				X									X									X									
	General Motors Corp New H			X																	X											
	Intel				X									X								X										
	IBM				X									X								X										
	JP Morgan Chase			X										X									X									
	Johnson & Johnson				X									X								X										
	Kimberly Clark				X									X									X									
	Level 3 Communications				X																X											
	Medtronic						X							X									X									
	Microsoft					X															X											
	Nextel Communications			X																	X											
	Nortel Networks			X																	X											
	Pfizer					X								X										X								
	Proctor Gamble				X									X									X									
	Qual Comm.			X																	X											
	Qwest Communication						X														X											

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	RCN Corp.				X																X											
	Schering Plough				X									X								X										
	Sector Trust Technology				X																X											
	Verizon Communications					X								X										X								
	Wal-Mart Stores			X										X								X										
	Wells Fargo & Co.				X									X									X									
	WorldCom								X												X											
	WorldCom MCI Group				X																				X							
	AIG American Classic Annuity								X												X											
	New Perspective Fund						X							X											X							
	Nuveen Internet Portfolio				X																X											
	Nuveen E-Commerce Portfolio				X																X											
	Nuveen SemiConductor				X																X											
	Nuveen Bandwidth Portfolio				X																X											
	Nuveen E-Business "			X																	X											
	Nuveen Network & Storage				X																X											
	Nuveen Wireless Portfolio				X																X											
	Milburn Global Oppt Fund				X															P-Ship	X											
	AES Corp.			X																	X											
	Infonet Services			X																	X											
	Lowes Co.					X								X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Dr. Thomas W. Osborne

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Aetna Real Estate LP	X																														
	Small Cap World Fund					X								X								X										
	Brinson Stratery Fund				X																X											
	New Century Fund				X																X											
	UBSPW Retirement Money Mkt				X																											
SP	WorldCom			X																	X											
SP	WorldCom MCI Group		X																		X											
	Wells Fargo Bank Nebraska N.A.			X												X						X										
	Union Bank + Trust Co. Lincoln NE			X												X						X										
	Tonchios Ins + Annuity Assoc.									X										Pension						X						
	Finley Resources, Inc.			X																Royalties		X										
	Coaches Direct, Inc.				X															S-Corp	X											
	Fieldturf Midwest LLC							X												LLC	X											S
	Land - Morrill County				X																X											
	Farmland - Butler County						X								X					Rental					X							
	Farmland - Dawson County						X								X					Rental	X											

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3501

Name Dr. Thomas W. Osborne | Page 1 of 2

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	WorldCom Sr. Note		X		8-6-01	X									
	PW Equity Trust ABC		X		9-24-01	X									
	Check Point Software		X		9-27-01	X									
	PW Equity Trust ABC		X		5-8-01			X							
	Bank Of America		X		4-20-01	X									
	Cablevision Systems Corp NY		X		4-20-01			X							
	Cablevision Systems Corp Rainbow Media		X		4-20-01	X									
	Exodus Communications		X		10-22-01	X									
	Level 3 Communications		X		11-6-01		X								
	Lucent Technologies		X		4-20-01	X									
	Schering Plough		X		9-27-01	X									
	Level 3 Communications	X			9-27-01		X								
	Fifth Third Bancorp	X			9-27-01	X									
	Wal-Mart Stores	X			9-27-01	X									
	AIG American Classic Annuity	X			4-23-01					X					
SP	Fieldstone - Preferred Stock		X		2001			X							

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SCHEDULE IV — TRANSACTIONS

Name Dr. Thomas W. Osborne | Page 2 of 2

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
SP	TGI LLC		X		11-26-01		X								

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3503

Name Dr. Thomas W. Osborne | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	UBS Paine Webber Inc.	Margin Loan				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Dr Thomas W. Osborne | Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Fellowship of Christian Athletes	Dec. 7	Washington D.C. - Birmingham Alabama - Lincoln, Nebraska	N	Y	N	N

This form may be copied if more space is required.

Name Dr. Thomas W. Osborne	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Limited Partner	Millburn Global Opportunity Fund LP
Limited Partner	Real Estate Associates Limited
Limited Partner	Century Properties Fund XIV
General Partner	Fieldtrust Midwest, LLC
President	Coaches Direct, Inc.
Board of Directors	Teamates of Nebraska

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mec)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(4)

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 AM 10: 37
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Dr. Thomas W. Osborne
(Full Name)

5400 Trotter Road
(Mailing Address)

Lincoln, Nebraska 68521

Daytime Telephone: (202) 225-8688

Filer Status	[X] Member of the U.S. House of Representatives — State: Nebraska District: 3rd	[ ] Officer or Employee	Employing Office:
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [ ]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [ ]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas W. Osborne	6/12/02

JUN 27 2002 15:58 P.02
FROM-JOINT COMMITTEE ON TAXATION
3507

Jun 12 2002 15:58 P.03
Fax:402-434-5574 NOV 1 2017 P. 3
BKD, LLP JUN 11 2002

Name Thomas Osborne | Page 1 of 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by you or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
SP	Mega Corp. Stock	X (E)	DIVIDENDS X		P
DC, Examples:	Simon & Schuster	Indefinite	Royalties		
JT	1st Bank of Paducah, KY accounts	X (F)	INTEREST X		
	American Pur Energy Bond	X (A)	INTEREST X, CAPITAL GAINS X	I	S
	Berkeley Co Sch Bond	X (A)	INTEREST X, CAPITAL GAINS X	IV	S
	Lincoln City Elect Sys Bond	X (A)	INTEREST X, CAPITAL GAINS X	IV	S
	Douglas Co. Sch Bond	X (A)	INTEREST X, CAPITAL GAINS X	IV	S
	E Norm New Orleans Bond	X (A)	INTEREST X, CAPITAL GAINS X	V	S
	Lincoln NE Sm Sur Bond	X (A)	INTEREST X, CAPITAL GAINS X	V	S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name: Thomas Osborne

JUN 14 2002 13:38 NO.1517 P.04
JUN 11 2002 2:39PM P.04

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Lincoln Neb Wtr Bond	X														X	X						X									S
	Lancaster City Bond	X														X	X								X							S
	Lincoln Lancaster Pub Bld Bd	X														X	X								X							S
	Neb. Public Power Bond	X														X	X							X								S
	Neb Ed Fin Auth Bond	X														X	X							X								S
	Omaha Neb Arpt Auth Bd	X														X	X								X							S
	Omaha Public Pwr Bond	X														X	X								X							S
	Omaha Douglas Ag Pub Bld	X														X	X								X							S
	University of NE Rev Bond	X														X	X							X								S
	Thurston Co Sch Bond	X														X	X						X									S
	TGI LLC	X															X										X					S

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SCHEDULE IV — TRANSACTIONS

Name: Thomas Osborne

Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	American Pub Energy Bond		X		4-23-01			X							
	Berkeley Co School Bond		X		4-23-01			X							
	Lincoln City Elect System Bond		X		4-23-01		X								
	Douglas County Nbr School Bond		X		4-23-01		X								
	E Morim New Orleans LA Bond		X		4-23-01			X							
	Lincoln NE Stm Swr Bond		X		4-23-01			X							
	Lincoln NE Wtr Rev Bond		X		4-23-01	X									
	Lancaster City Bond		X		4-23-01			X							
	Lincoln Lancaster Pub Bld Bond		X		4-23-01			X							
	Nebraska Public Power Bond		X		4-23-01		X								
	Nebraska ED Fin Auth Bond		X		4-23-01			X							
	Omaha Nbr Arpt Auth Bond		X		4-23-01			X							
	Omaha Public Power Bond		X		4-23-01			X							
	Omaha - Douglas Pub Bldg Bond		X		4-23-01			X							
	University of Nbr Rev Bond		X		4-23-01			X							
	Television Co School Bond		X		4-23-01		X								

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Jun 12 2002 19:59 P.05
JUN. 11. 2002 2:31PM HRD, LLP
Fax:402-434-5594

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(11)

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:29
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Douglas A. Ose
(Full Name)
4013 Park Road
(Mailing Address)
Sacramento CA 95841
Daytime Telephone

Filer Status	[X] Member of the U.S. House of Representatives — State: CA District: 3	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Douglas A. Ose	5-15-02

3511

Name Douglas A. Ose | Page 2 of 11

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
Examples: State of Maryland	Legislative Pension	$9,000
Examples: Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Examples: Ontario County Board of Education	Spouse Salary	NA
Mercy General Hospital	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Douglas A. Ose | Page 3 of 11

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples.	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NONE			

This page may be copied if more space is required.

Name Douglas A. Ose | Page 4 of 11

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example: Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock			Indefinite			X							X						Royalties				X					X			P
	Examples: Simon & Schuster							X								X										X						
	Examples: 1st Bank of Paducah, KY accounts																															
	Ose LP										X																X					
	Mehanna Inc.								X																	X						
	River Court West LP									X					X												X					
	Lenox Rock LP									X					X														X			
	National Racquet Club						X								X											X						
	4 Sylvan LP						X														X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Douglas A. Ose

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Lodgerooms 7 LP						X									X									X							
	Selling Agent Institute Co., Inc					X										X										X						
	Mellon LP										X			X	X	X												X				
	Brandywine Request Club LP						X								X												X					
	IBM Common					X								X										X								P(DRIP)
	Bank of America Common					X								X										X								P(DRIP)
	G. Inc Corp Common			X										X									X									
	Intel Common			X										X									X									
	AT&T Common			X										X								X										
	Hewlett Packard Common			X										X								X										
	Time Warner AOL Common			X													X							X								Sold
	Intel Corp Common				X									X									X									
	State Street Bank Common			X										X								X										P(DRIP)
	Celgene Corp Common																X								X							Sold
	Ose Properties Inc.									X				X	X	X	X										X					
	Ose Properties No. 2							X							X						X											
	Ose Properties No. 3								X						X										- X							
	Ose Properties No. 4								X						X												X					
	MMSO Inc.							X												None	X											
	350 University Avenue						X								X										X							
	Ose Properties No. 5								X					X			X										X					
	Iowa Farm - Hamilton County				X										X									X								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Douglas H. Ose

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Nat'l Health Corp Common			X																	X											
	Cisco Common			X																	X											
	[illegible]	DC																														
	AT+T Wireless			X																	X											
	Hilton			X																	X											
	Cypress Semiconductor			X																	X											
	Ad. E. Court Tyl. U.B			X										X									X									
	General Electric					X								X										X								
	Santa Fe Global			X																	X											
	Corning				X									X									X									
	Orbital Engine			X																	X											
	Unitator			X																	X											
	Tricom Global		X																		X											
	Avaya		X																		X											
	Ose Properties No. 6											X		X	X		X											X				
	Ose Properties No. 8									X				X	X		X				X											
	Granite Construction			X										X									X									
	Ame Corp			X										X									X									
	Longmeadow Day			X																	X											
	Schools Federal C.U.			X												X								X								
	Wells Fargo Bank			X												X								X								
	Bonds & Mortgage			X												X								X								

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Name Douglas A. Ose | Page 6B of 11

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full name of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B: None	A: $1 - $1,000	B: $1,001 - $15,000	C: $15,001 - $50,000	D: $50,001 - $100,000	E: $100,001 - $250,000	F: $250,001 - $500,000	G: $500,001 - $1,000,000	H: $1,000,001 - $5,000,000	I: $5,000,001 - $25,000,000	J: $25,000,001 - $50,000,000	K: Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I: None	II: $1 - $200	III: $201 - $1,000	IV: $1,001 - $2,500	V: $2,501 - $5,000	VI: $5,001 - $15,000	VII: $15,001 - $50,000	VIII: $50,001 - $100,000	IX: $100,001 - $1,000,000	X: $1,000,001 - $5,000,000	XI: Over $5,000,000	Block E: P, S, E
SP, DC, JT	Examples: SP Mega Corp. Stock						X								X					Royalties												P
	Simon & Schuster		Indefinite													X																
	1st Bank of Paducah, KY accounts							X																								
	American River Bank				X											X							X									
	US Bank			X												X							X									
	Washington Mutual							X								X									X							

For additional assets and unearned income, use next page.

3517

SCHEDULE IV — TRANSACTIONS

Name Douglas A. Ose | Page 7 of 11

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	Calpine Stock Common		✓		4/24/01		✓								
	[redacted]														
	National Healthcare		✓		7/5/01	✓									
	Granite Construction	✓			12/6/01	✓									
	Krispy Kreme Pets May 40	✓			12/14/01	✓									
	Krispy Kreme Pets May 40	✓			12/24/01	✓									
	National Healthcare		✓		7/5/01	✓									
	Gateway	✓			12/6/01	✓									
	ADC Tele Warrior		✓		2/27/01	✓									
	Commerce One	✓			5/22/01	✓									

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3518

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	~~[illegible]~~											
	None reportable											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	AIPAC (Approved by Ethics)	Aug 17, 2001 - Aug 24, 2001	Sacto - LA - NY - Jerusalem - NY - SF - Sacto.	Y	Y	Y	N

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
General Partner	Lodeveroong 2, a California Limited Partnership
General Partner	4 Sylvan, a California Limited Partnership
President	Sylling Court Investment Company, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (14)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12: 29
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

C. L. "Butch" Otter
(Full Name)

1009 Star Road
(Mailing Address)

(202) 225-6611
Daytime Telephone:

Star, ID 83669

Filer Status	[X] Member of the U.S. House of Representatives — State: Idaho District: 1	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calender year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	C. L. Butch Otter	5/14/02

3522

Name C.L. "Butch" Otter | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives	Salary	126,410
	J.R. Simplot Co.	Deferred Comp.	30,288
	J.R. Simplot Co. - SERP	Retirement Plan	33,647
	J.R. Simplot Co.	Deferred Comp.	131,852
	J.R. Simplot Co.	Pension	41,584
	State of Idaho	Lieutenant Gov.	2,236

For payments to charity in lieu of honoraria, use Schedule II.

Name C.L. "Butch" Otter	Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Politically Incorrect	Television appearance	4-12-01	500

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name C.L. "Butch" Otter

BLOCK A Asset and/or Income Source	BLOCK B Value of Asset: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	F $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income	BLOCK D Amount of Income: I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	BLOCK D Transaction purchased (P) sold (S) exchanged (E)
Western Capital Associates								X											PARTNERSHIP						X						
Piper Pub & Grill Limited Partnership			X																PARTNERSHIP		X										
W.E. Pierce Building Associates				X															PARTNERSHIP				X								
Craftin Apartments					X														PARTNERSHIP			X									
Receivable sale of Gem Star Security						X									X										X						
G.O. Ranches, Inc									X										S CORP	X											
Congressional Federal Credit Union				X											X							X									
Simplot Employees Credit Union				X											X							X									
Washington Trust Bank					X										X						X										
Wells Fargo Bank	X												X										X								
Receivable - Providence Development Group LLC							X								X												X				
Pro-Team Inc						X														X											
Residential Rental - 1911 N. 34th, Boise, ID					X									X										X							
American International Group Inc			X										X								X										
Capital One Financial Corp			X										X								X										
Cisco Systems Inc			X																	X											
Citigroup Inc.			X										X								X										
Microsoft Corp.			X																	X											
Technology Sector Trust	X																			X											Sold at loss
SEI Achievement State Tax Free Trust #20	X														X						X										
Wells Fargo National Tax-Free #483						X									X										X						
Wells Fargo Nat'l Tax-Free Inst Money Market				X											X						X										
Achievement Idaho Municipal Bond Fund	X														X								X								
Fidelity Growth Opportunities Fund				X									X									X									
Fidelity Adv Equity Income Fund				X									X										X								
Delaware Investments Tax Free Idaho	X														X								X								S
Albertson's Inc. common stock					X								X										X								
Impco Technologies common stock			X																	X											
Interland Inc. common stock			X																	X											
Loudeye Technology Inc common stock			X																	X											
Micron Technology Inc. common stock						X														X											P
Rite Aid Corp common stock			X													X									X						P,S
American Express Co - IRA			X										X								X										Sold at loss
American International Group Inc. - IRA			X										X			X							X								S

3525

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name C.L. "Butch" Otter

BLOCK A Asset and/or Income Source	BLOCK B Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK D Transaction
	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	purchased (P) sold (S) exchanged (E)
American Tower Corp. - IRA			X																	X											P
Amgen Inc. - IRA			X																	X											P
Anadarko Pet Corp - IRA			X										X								X										P
AOL Time Warner - IRA			X																	X											Sold at loss
Bank New York - IRA			X										X								X										P
BP PLC ADR - IRA			X										X			X					X										P,S
Calpine Corp - IRA			X																	X											P
Cardinal Health - IRA			X										X			X					X										P,S
Cisco Systems Inc. - IRA			X																	X											Sold at loss
Citigroup Inc. - IRA			X										X								X										P
Costco Wholesale Corp. - IRA			X													X				X											S
Danaher Corp - IRA			X																	X											P
EMC Corp - IRA			X																	X											P
El Paso Corp - IRA			X										X			X					X										P,S
Electronic Data Corp - IRA			X										X								X										P
Exxon Mobil Corp. - IRA			X										X								X										Sold at loss
Fifth Third Bancorp - IRA			X																	X											P
Flextronics Intl - IRA			X																	X											P
Freddie Mac - IRA			X										X								X										P
General Electric Co. - IRA			X										X								X										Sold at loss
Home Depot Inc. - IRA			X										X								X										P
Household Capital Prfd - IRA			X										X								X										
International Business Machines Corp. - IRA			X										X								X										P
Janus Investment Worldwide Fund #41 - IRA			X										X								X										
Johnson & Johnson - IRA			X										X								X										P
McGraw Hill Cos. Inc. - IRA			X										X			X					X										S
Medimmune Inc - IRA			X																	X											P
Medtronic Inc - IRA			X										X								X										P
Microsoft Corp. - IRA			X																	X											Sold at loss
Morgan Stanley Dean Witter Discovery - IRA			X										X								X										P
Pepsico - IRA			X																	X											P
Pfizer Inc. - IRA			X										X								X										P
Pharmacia Corp. - IRA			X										X								X										
Qualcomm Inc - IRA			X																	X											P, Sold at loss

3526

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name C.L. "Butch" Otter

BLOCK A Asset and/or Income Source	BLOCK B Value of Asset: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK D Transaction: purchased (P) sold (S) exchanged (E)
Qwest Communications Inc - IRA			X										X								X										Sold at loss
Safeway Inc - IRA			X																	X											P, Sold at loss
Schlumberger LTD - IRA			X																	X											P
SEI Small Cap Growth #67 - IRA			X										X								X										Sold at loss
SEI International Trust #95 - IRA			X										X								X										
Siebel Systems Inc. - IRA			X																	X											P, Sold at loss
Southwest Airlines - IRA			X																	X											P
State Street Corp. - IRA			X																	X											P
Suburban Propane Partners - IRA						X													PARTNERSHIP						X						
Texas Instruments Inc - IRA			X										X								X										P, Sold at loss
Tyco Intl. - IRA			X										X			X					X										S
United Technologies Corp. - IRA			X										X								X										P
Unitilcorp Inc. - IRA			X										X								X										P
Veritas Software Co. - IRA			X																	X											P, Sold at loss
Verizon Inc. - IRA			X										X								X										P
Viacom Inc. - IRA			X																	X											P, Sold at loss
Walmart Inc. - IRA			X										X								X										Sold at loss
Waters Corp. - IRA			X																	X											P
Worldcom Inc. - IRA			X																	X											
Xilinx Inc. - IRA			X																	X											P
American Select Portfolio - IRA			X										X										X								P, S
American Strategic Income Portfolio III - IRA					X								X												X						P, S
American Strategic Income Portfolio II - IRA					X								X											X							P, S
Van Kampen American Cap Inc Trust - IRA					X								X												X						P, S
Wells Fargo Money Market - IRA				X											X							X									
Idaho Power 7.2% 12/01/09 - IRA				X											X								X								
RCC Communications Consulting LLC - IRA						X														X											
Public Employees Retirement System of Idaho				X																											
AET Income Fund II - Retirement Savings Plan S							X																								
Invesco Total Return Fund - Retirement Plan S							X																								
AXP Stock Fund - Retirement Savings Plan S							X																								
Analog Devices Inc. - IRA	X																			X											Sold at loss
AT&T Corp. - IRA	X												X								X										Sold at loss
Capital One Financial Corp. - IRA	X															X							X								S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name C.L. "Butch" Otter

BLOCK A Asset and/or Income Source	BLOCK B Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK D Transaction
	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	purchased (P) sold (S) exchanged (E)
Dell Computer Corp. - IRA	X																			X											Sold at loss
Disney Co. - IRA	X																			X											Sold at loss
Enron Corp. - IRA	X																			X											P,Sold at loss
Guidant Corp - IRA	X																			X											Sold at loss
Hewlett Packard Co. - IRA	X												X								X										Sold at loss
Intel Corp. - IRA	X												X								X										Sold at loss
JDS Uniphase Corp. - IRA	X																			X											Sold at loss
JP Morgan Chase & Co. - IRA	X												X								X										Sold at loss
Kimberly Clark Corp. - IRA	X												X			X					X										S
Merck & Co. - IRA	X												X								X										Sold at loss
Motorola Inc. - IRA	X												X								X										Sold at loss
Nortel Networks Corp. - IRA	X												X								X										Sold at loss
Mylan Labs Inc. - IRA	X												X			X					X										S
Oracle Corp. - IRA	X																			X											Sold at loss
Schering Plough Corp. - IRA	X												X								X										Sold at loss
Sun Microsystems Inc. - IRA	X																			X											Sold at loss
Technology Sector Spdr Tr - IRA	X																			X											Sold at loss
Yahoo Inc. - IRA	X																			X											Sold at loss

3528

SCHEDULE IV -- TRANSACTIONS

Name C.L. "Butch" Otter

SP,DC,JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
	Delaware Investments Tax Free Idaho		X		06/05/01			X							
	Rite Aid Corp. common stock		X		05/31/01			X							
	Micron Technology Inc. common stock	X			08/22/01		X								
	Rite Aid Corp. common stock	X			11/05/01	X									
	Rite Aid Corp. common stock	X			12/11/01	X									
	Technology Sector Spdr Tr		X		04/23/01	X									
	Amgen Inc. common stock - IRA	X			10/03/01	X									
	Anadarko Pet. Corp. common stock - IRA	X			10/03/01	X									
	AOL Time Warner Inc. common stock - IRA	X			03/27/01	X									
	Bank New York Inc common stock - IRA	X			10/03/01	X									
	Bank New York Inc. common stock - IRA	X			03/28/01	X									
	BP Amoco PLC common stock - IRA	X			03/26/01	X									
	Calpine Corp. common stock - IRA	X			10/03/01	X									
	Cardinal Health Inc. common stock - IRA	X			03/26/01	X									
	Citigroup Inc. common stock - IRA	X			10/03/01	X									
	Danaher Corp common stock - IRA	X			10/03/01	X									
	EMC Corp. common stock - IRA	X			10/03/01	X									
	El Paso Energy Corp. - IRA	X			03/26/01	X									
	Electronic Data Systems Corp. - IRA	X			10/03/01	X									
	EMC Corp. common stock - IRA	X			03/30/01	X									
	Enron Corp. comon stock - IRA	X			10/03/01	X									
	Fifth Third Bancorp common stock - IRA	X			10/03/01	X									
	Freddie Mac common stock - IRA	X			10/03/01	X									
	Home Depot Inc. common stock - IRA	X			10/03/01	X									
	International Business Machines Corp common stock - IRA	X			10/03/01	X									

SCHEDULE IV -- TRANSACTIONS

Name	C.L. "Butch" Otter	Page 2 of 4

SP,DC,JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
	Johnson & Johnson common stock - IRA	X			10/03/01	X									
	Medimmune Inc. common stock - IRA	X			10/03/01	X									
	Medtronic Inc. common stock - IRA	X			10/03/01	X									
	Microsoft Corp. common stock - IRA	X			10/03/01	X									
	Morgan Stanley Dean Witter common stock - IRA	X			10/03/01	X									
	Pepsico Inc. common stock - IRA	X			10/03/01	X									
	Pfizer Inc. common stock - IRA	X			10/03/01	X									
	Qualcomm Inc common stock - IRA	X			03/26/01	X									
	Safeway Inc. common stock - IRA	X			10/03/01	X									
	Siebel Inc. common stock - IRA	X			03/19/01	X									
	Southwest Airlines Co. common stock - IRA	X			10/03/01	X									
	State Street Corp. common stock - IRA	X			10/03/01	X									
	Texas Instruments Inc. common stock - IRA	X			04/03/01	X									
	United Technologies Corp. common stock - IRA	X			10/03/01	X									
	Utilicorp Inc. common stock - IRA	X			10/03/01	X									
	Veritas Software Corp. - IRA	X			03/19/01	X									
	Verizon Communication common stock - IRA	X			10/03/01	X									
	Viacom Inc. common stock - IRA	X			10/03/01	X									
	Waters Corp. common stock - IRA	X			10/03/01	X									
	Xilinx Inc. common stock - IRA	X			10/03/01	X									
	Flextronics Intl. Ltd. common stock - IRA	X			10/03/01	X									
	Schlumbefter Ltd. common stock - IRA	X			10/03/01	X									
	SEI Small Cap Growth #67		X		05/08/01	X									
	American Express Co. common stock - IRA		X		10/03/01	X									
	American International Group Inc. common stock - IRA		X		10/03/01	X									

SCHEDULE IV -- TRANSACTIONS

Name C.L. "Butch" Otter

SP,DC,JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
	Analog Devices Inc. common stock - IRA		X		03/26/01	X									
	AOL Time Warner Inc. common stock - IRA		X		10/03/01	X									
	AT&T Corp. common stock - IRA		X		03/26/01	X									
	Capital One Financial Corp. - IRA		X		10/03/01	X									
	Cardinal Health Inc. common stock - IRA		X		10/03/01	X									
	Cisco Systems Inc. common stock - IRA		X		10/03/01	X									
	Costco Wholesale Corp. common stock - IRA		X		10/03/01	X									
	Dell Computer Corp. common stock - IRA		X		02/08/01	X									
	Disney Co. common stock - IRA		X		10/03/01	X									
	El Paso Corp. common stock - IRA		X		10/03/01	X									
	Enron Corp. comon stock - IRA		X		12/03/01	X									
	Exxon Mobil Corp. common stock - IRA		X		10/03/01	X									
	General Electric Co. common stock - IRA		X		10/03/01	X									
	Guidant Corp. common stock - IRA		X		03/16/01	X									
	Hewlett Packard Co. common stock - IRA		X		03/26/01	X									
	Intel Corp. common stock - IRA		X		03/26/01	X									
	JDS Uniphase Corp. common stock - IRA		X		10/03/01	X									
	JP Morgan Chase & Co. common stock - IRA		X		10/03/01	X									
	Kimberly Clark Corp. common stock - IRA		X		03/16/01	X									
	McGraw Hill Cos. Inc. common stock - IRA		X		10/03/01	X									
	Merck & Co. common stock - IRA		X		10/03/01	X									
	Microsoft Corp. common stock - IRA		X		03/28/01	X									
	Motorola Inc. common stock - IRA		X		02/09/01	X									
	Mylan Labs Inc. common stock - IRA		X		06/08/01	X									
	Nortel Networks Corp. common stock - IRA		X		05/10/01	X									

SCHEDULE IV -- TRANSACTIONS

Name C.L. "Butch" Otter

Page 4 of 4

SP,DC,JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
	Oracle Corp. common stock - IRA		X		10/03/01	X									
	Qualcomm Inc. common stock - IRA		X		10/03/01	X									
	Qwest Communications Inc. common stock - IRA		X		10/03/01	X									
	Schering Plough Corp. common stock - IRA		X		03/26/04	X									
	Siebel Inc. common stock - IRA		X		10/03/01	X									
	Sun Microsystems Inc. common stock - IRA		X		10/03/01	X									
	Technology Sector Spdr Tr - IRA		X		04/03/01	X									
	Texas Instruments Inc. common stock - IRA		X		10/03/01	X									
	Tyco Intl Ltd common stock - IRA		X		10/03/01	X									
	Veritas Software Corp. - IRA		X		10/03/01	X									
	Viacom Inc. common stock - IRA		X		03/26/01	X									
	Wal Mart Stores Inc. common stock - IRA		X		10/03/01	X									
	Yahoo Inc. common stock - IRA		X		02/26/01	X									
	BP PLC common stock - IRA		X		10/03/01	X									

Name C.L. "Butch" Otter | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Brookstreet Securities Corp.	margin loan			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name	C.L. "Butch" Otter	Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

This page may be copied if more space is required.

Name	C.L. "Butch" Otter	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	G.O. Ranches, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (disc)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 AM 9:50
MC
(Office Use Only)

3

Major Robert Owens
(Full Name)
135 Eastern Parkway Apt. 3H (718) 773-3100
(Mailing Address) Daytime Telephone
Brooklyn, New York 11238

Filer Status	☒ Member of the U.S. House of Representatives	State: District:	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☒	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Major R. Owens	June 15, 2002

3536

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Catherine Street Community Center	Jan. 18-19	NEW YORK CITY - Poughkeepsie, NY - NEW YORK CITY	Y	Y	N	N
	American Airlines / AT&T / Microsoft	MAR. 15-16	WASH, DC - MENLO PARK & MONTEREY, CA. - WASH. DC	Y	Y	Y	N
	Congressman John Conyers	Apr. 19-20	NEW YORK CITY - DETROIT, MI - NEW YORK CITY	Y	N	N	N
	Information Technology Industry Council	Apr. 26-27	WASH, DC - DALLAS, TX - NEW YORK CITY	Y	Y	N	N
	SECME	May 15-17	NEW YORK CITY - TUCSON, ARIZONA - NEW YORK CITY	Y	N	N	N

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Name Major R. Owens | Page 3 of 3

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Communovations Associates

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

3539

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

359

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 17 AM 10: 52
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Michael Garver Oxley
(Full Name)

2233 Rayburn House Office Building
(Mailing Address)

Washington, D.C. 20515

Daytime Telephone: (202) 225-2676

Filer Status	[X] Member of the U.S. House of Representatives — State: Ohio, District: 4th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/02

Name	OXLEY	Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Weichert Realtors	Spouse Real Estate Commissioners	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name	OXLEY	Page 3 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	Edward Jones	Speech	May 8, 2001	$ 2,000
	Wiley, Rein & Fielding	Speech	January 3, 2001	$ 2,000

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Name OXLEY

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(e) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts, any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; REnT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock	X	X	X	P
	Indefinite: Simon & Schuster		Royalties	X	
	1st Bank of Paducah, KY accounts	X	X	X	
	Ohio Bank SEP		X	X	
	~~Findlay, OH~~				
	Wright Patman FCU	X	X	X	
SP	Bank of America		X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name OXLEY

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
	SEE ATTACHED!				

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3543

Name OXLEY

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10–12–01		X								
	SEE ATTACHED														

This page may be copied if more space is required.

Name OKLEY

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name	OXLEY	Page 9 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

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	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Ripon Educational Fund	Aug. 9 - 18	Wash, D.C. - Edinburgh Scotland - Washington, D.C.	Y	Y	Y	
	Turkey-U.S. Strategic Studies Program	April 6 - 14	Washington, D.C. - Turkey - Washington, D.C.	Y	Y	Y	

This page may be copied if more space is required.

Name	OXLEY	Page 10 of 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Ripon Educational Fund TransAtlantic Executive Committee

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

-DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

MFA Selects™

TOTAL ACCOUNT VALUE AS OF 01/26/2001 $30,786.21

*** MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON/ARRISON

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	12/29/00 Value	%	01/26/01 Value	%
Cash/Money Accounts	754	2	661	2
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	29,771	98	30,124	98
Options				
Other				
Long Market Value	30,525		30,785	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	30,525		30,786	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	3.08	3.08
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends		
Income Not Reported		
Total	3.08	3.08

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 661 Investor Credit Line

NEWS

Put your money to work faster with the Direct Deposit Service. This free service lets you deposit payroll, pension, Social Security and other recurring payments into your CMA(R) account or CMA SubAccount(SM) electronically. The sooner your money reaches your account, the sooner it starts working for you. For more information, call your Financial Consultant.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10659.98	10787.99	10787.99
Three-Month Treasury Bills	5.16%	5.88%	5.88%
Long-Term Treasury Bonds	5.64%	5.45%	5.45%

330143 PLEASESEEREVERSESIDE

510019 0130

3548

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

MFA Selects™

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	754.29		Sales Income Funds Received Other	3.08	3.08	Purchases Withdrawals Other	95.87	95.87
Net Credits & Debits	92.79DR	92.79DR						
Closing Balance Cash & Money Accounts	661.50		Total Credits	3.08	3.08	Total Debits	95.87	95.87

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
661	CMA MONEY FUND		1.00	661	1.00	661			39	5.90

3549

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

MFA Selects™

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
175	ALLIANCE PREMIER GROWTH FD ADV CL			04/14/99	34.24	5,992	29.25	5,118	(871)		
	Total Client Investment			$5,475							
	Investment Return			($256)							
190	AMERICAN FUNDAMENTAL INVESTORS INC CL A (.7030 FRACTIONAL SHARE)			08/24/00	34.45	6,545	31.78	6,038	(508)	76	1.25
				N/A	N/A	N/A	31.78	22	N/A		1.25
	Total Client Investment			$6,207							
	Investment Return			($169)							
239	DAVIS NEW YORK VENTURE FD CL Y (.6690 FRACTIONAL SHARE)			08/24/00	32.06	7,663	29.11	6,957	(706)	33	.48
				N/A	N/A	N/A	29.11	19	N/A		.48
	Total Client Investment			$7,065							
	Investment Return			($100)							
319	NATIONS MARSICO FOCUS EQUITY CL A			04/14/99	17.56	5,602	18.31	5,840	238		
	Total Client Investment			$5,478							
	Investment Return			$362							
88	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.55	2,072	24.05	2,116	42	34	1.63

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
	(.3440 FRACTIONAL SHARE)			N/A	N/A	N/A	24.05	8	N/A		1.63
	Total Client Investment			$1,829							
	Investment Return			$287							
90	ROBERTSON STEPH EMERGING GROWTH FD			04/14/99	33.34	3,001	44.16	3,974	973		
	(.6500 FRACTIONAL SHARE)			N/A	N/A	N/A	44.16	28	N/A		
	Total Client Investment			$2,598							
	Investment Return			$1,375							
	Total Mutual Funds - Equity					30,879		30,124	(834)	144	.48
	Total Mutual Funds					30,879		30,124	(934)	144	.48
	Total of Long Portfolio					31,540*		30,785	(834)*	183	.60

DATE ACQUIRED: Date of your initial investment in this fund
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A Items

3551

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
01/26	Share Dividend	3	CMA MONEY FUND			
01/26	Cash Dividend		CMA MONEY FUND FROM 12-30 THRU 1-25			.08
	Income Total		CMA MONEY FUND			3.00
			Net Total			3.08
			Other Activity			
01/12	Journal Entry		MFA SELECTS QTR ADV FEE		95.87	
			Net Total		95.87	

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
12/29	Opening Balance					1.29CR	753
01/02	Purchase	1	CMA MONEY FUND		1.00	.29CR	754
01/12	Journal Entry		MFA SELECTS QTR ADV FEE		95.87		
01/12	Sale	-96	CMA MONEY FUND		96.00CR	.42CR	658
01/26	Share Dividend	3	CMA MONEY FUND				

3552

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MERRILL LYNCH CMA® ACCOUNT

MFA Selects™

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
01/26	Cash Dividend		CMA MONEY FUND FROM 12-30 THRU 1-25		.08CR		
01/26	Closing Balance				.50CR	.50CR	661

Customer Service

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3553

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 01/26/2001 $1,726.17

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON/ARRISON

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	12/29/00 Value	%	01/26/01 Value	%
Cash/Money Accounts	1,718	100	1,726	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	1,718		1,726	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	1,718		1,726	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	7.81	7.81
Reportable Dividends		
Income Not Reported		
Total	7.81	7.81

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 1,726 Investor Credit Line

NEWS

Put your money to work faster with the Direct Deposit Service. This free service lets you deposit payroll, pension, Social Security and other recurring payments into your CMA(R) account or CMA SubAccount(SM) electronically. The sooner your money reaches your account, the sooner it starts working for you. For more information, call your Financial Consultant.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10659.98	10787.99	10787.99
Three-Month Treasury Bills	5.16%	5.88%	5.88%
Long-Term Treasury Bonds	5.64%	5.45%	5.45%

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	1,718.36		Sales Income	7.81	7.81	Purchases		
			Funds Received			Withdrawals		
			Other			Other		
Net Credits & Debits	7.81	7.81						
Closing Balance Cash & Money Accounts	1,726.17		Total Credits	7.81	7.81	Total Debits		

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield%	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	1,717	1,717	5.95	7.81	1,725
Total ML Banking Advantage	1,717			7.81	1,725

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
1,725	ML BANKING ADVANTAGE		1.00	1,725	1.00	1,725			102	5.95
	Total Cash/Money Accounts			1,726		1,726			102	5.95
	Total of Long Portfolio			1,726		1,726			102	5.95

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
01/26	* Bank Interest		BANK DEPOSIT INTEREST			.81
	Income Total		ML BANKING ADVANTAGE			7.00
			Net Total			7.81

3556

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
12/29	Opening Balance				.	1.36CR	1,717
01/02	Deposit To		ML BANKING ADVANTAGE		1.00	.36CR	1,718
01/26	Bank Interest		BANK DEPOSIT INTEREST		7.81CR		
01/26	Closing Balance				1.17CR	1.17CR	1,723

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3557

DUPLICATE MERRILL LYNCH STATEMENT STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

TOTAL ACCOUNT VALUE AS OF 01/26/2001 $73,259.84

MLPF& S CUST FBO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2831

YOUR FINANCIAL CONSULTANT:
HARRISON/ARRISON

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	12/29/00 Value	%	01/26/01 Value	%
Cash/Money Accounts	20	*	20	*
CD's/Equivalents	-			
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	72,744	100	73,239	100
Options				
Other				
*-Less than 1 %				
Long Market Value	72,764		73,259	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	72,765		73,259	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.04	.04
Interest Income		
Dividend Income		
Total	.04	.04

Items for Attention

Security	Message	Date
	No Items For Attention	

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Put your money to work faster with the Direct Deposit Service. This free service lets you deposit payroll, pension, Social Security and other recurring payments into your CMA(R) account or CMA SubAccount(SM) electronically. The sooner your money reaches your account, the sooner it starts working for you. For more information, call your Financial Consultant.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10659.98	10787.99	10787.99
Three-Month Treasury Bills	5.16%	5.88%	5.88%
Long-Term Treasury Bonds	5.64%	5.45%	5.45%

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3558

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	20.93	
Net Credits & Debits	-.18DR	.18DR
Closing Balance Cash & Money Accounts	20.75	

Credits	This Statement	Year-to-Date
Sales	230.50	230.50
Income	.04	.04
Funds Received		
Other		
Total Credits	230.54	230.54

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
Other	230.72	230.72
Total Debits	230.72	230.72

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	.00
Long-Term	(1.26)	(1.26)

*-Excludes transactions for which we have insufficient data.

3559

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects™

FBO MICHAEL G OXLEY

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
7	AMERN CENTY INC & GR FD	04/14/99	01/17/01	211.19	212.45	(1.26)	LT

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
20	RETIREMENT RESERVES CL I		1.00	20	1.00	20			1	5.96

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
	Mutual Funds - Equity										
463	ALLIANCE PREMIER GROWTH FD ADV CL			04/14/99	33.74	15,624	29.25	13,542	(2,082)		
	(.7360 FRACTIONAL SHARE)			N/A	N/A	N/A	29.25	21	N/A		
	Total Client Investment			$13,585							
	Investment Return			($42)							

3560

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects™

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
576	AMERN CENTY INC & GR FD			04/14/99	30.37	17,496	30.79	17,735	241	525	2.96
	(.3440 FRACTIONAL SHARE)			N/A	N/A	N/A	30.79	10	N/A		2.96
	Total Client Investment			$17,178							
	Investment Return			$556							
466	MASSACHUSETTS INVESTORS TRUST CLASS A			07/06/98	21.58	10,057	19.83	9,240	(817)	35	.38
	(.1960 FRACTIONAL SHARE)			N/A	N/A	N/A	19.83	3	N/A		.38
	Total Client Investment			$8,991							
	Investment Return			$249							
881	NATIONS MARSICO GRWTH AND INC FD			04/14/99	15.61	13,754	17.26	15,206	1,452		
	(.8370 FRACTIONAL SHARE)			N/A	N/A	N/A	17.26	14	N/A		
	Total Client Investment			$13,594							
	Investment Return			$1,611							
171	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.60	4,035	24.05	4,112	76	67	1.63
	(.4940 FRACTIONAL SHARE)			N/A	N/A	N/A	24.05	11	N/A		1.63
	Total Client Investment			$3,517							
	Investment Return			$595							

3561

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
174	ROBERTSON STEPH EMERGING GROWTH FD (.4790 FRACTIONAL SHARE)			04/14/99	33.39	5,810	44.16	7,683	1,874		
				N/A	N/A	N/A	44.16	21	N/A		
	Total Client Investment			$5,068							
	Investment Return			$2,615							
295	VAN KAMPEN AMERICAN VALUE FD CL A (.6250 FRACTIONAL SHARE)			04/14/99	20.03	5,911	19.06	5,622	(289)		
				N/A	N/A	N/A	19.06	11	N/A		
	Total Client Investment			$5,097							
	Investment Return			$525							
	Total Mutual Funds - Equity					72,691		73,239	455	628	.86
	Total Mutual Funds					72,691		73,239	455	628	.86

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

Total of Long Portfolio	72,711*	73,259	455 *	630	.86

* - Excludes N/A items

3562

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
01/18	Sale	7	AMERN CENTY INC & GR FD FRAC SHR QUANTITY .640 PER MFA SELECTS AGRMNT PRICE 30.170000	30.170		230.50
			Net Total			230.50
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			.04
			Net Total			.04
			Funds Received, Withdrawals, and Charges			
01/19	Fund Delivery	-231	ML RETIREMENT RSRVS CL I			
01/19	Subscription	231	ML RETIREMENT RSRVS CL I		231.00	
01/22	Redeemed	-231	ML RETIREMENT RSRVS CL I			231.00
01/22	Received	231	ML RETIREMENT RSRVS CL I			
			Net Total			
			Other Activity			
01/19	Journal Entry		MFA SELECTS QTR ADV FEE		230.72	
			Net Total			230.72

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects™

FBO MICHAEL G OXLEY

Customer Service

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DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects™

FBO MICHAEL G OXLEY

Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year-to-Date
Retirement Reserves CL I	$20.26	$20.30	$.04	$.04

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number:	7700700	Social Security Number	278-40-8366
Year-End Plan Value as of December 31, 2000	$72,765.44	Tax Identification Number	00-6000000
Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD

MERRILL LYNCH SEP ACCOUNT

MFA Selects

TOTAL ACCOUNT VALUE AS OF 01/26/2001 $57,876.94

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON/ARRISON

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	12/29/00 Value	%	01/26/01 Value	%
Cash/Money Accounts	31,600	55	31,562	55
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	25,387	45	26,313	45
Options				
Other				
Long Market Value	56,988		57,876	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	56,988		57,876	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	144.17	144.17
Interest Income		
Dividend Income		
Total	144.17	144.17

Items for Attention

Security	Message	Date
	No Items For Attention	

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10659.98	10787.99	10787.99
Three-Month Treasury Bills	5.16%	5.88%	5.88%
Long-Term Treasury Bonds	5.64%	5.45%	5.45%

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 Statement Period 12/30/00 TO 01/26/01 Account No. 749-72R99

010019 0130

3566

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance								
Cash & Money Accounts	31,600.70		Sales			Purchases		
			Income	144.17	144.17	Withdrawals		
			Funds Received			Other	181.87	181.87
Net Credits & Debits	37.70DR	37.70DR	Other					
Closing Balance								
Cash & Money Accounts	31,563.00		Total Credits	144.17	144.17	Total Debits	181.87	181.87

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
31,562	RETIREMENT RESERVES CL I.		1.00	31,562	1.00	31,562			1,881	5.96

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
267	ALLIANCE PREMIER GROWTH FD ADV CL			04/14/99	33.58	8,967	29.25	7,809	(1,156)		
	(.5890 FRACTIONAL SHARE)			N/A	N/A	N/A	29.25	17	N/A		
	Total Client Investment			$7,763							
	Investment Return			$46							
138	JANUS TWENTY FUND			04/14/99	66.73	9,209	58.28	8,042	(1,163)		
	(.1720 FRACTIONAL SHARE)			N/A	N/A	N/A	58.28	10	N/A		
	Total Client Investment			$8,344							
	Investment Return			($301)							
102	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.58	2,405	24.05	2,453	47	40	1.63
	(.5690 FRACTIONAL SHARE)			N/A	N/A	N/A	24.05	13	N/A		1.63
	Total Client Investment			$2,110							
	Investment Return			$342							
105	ROBERTSON STEPH EMERGING GROWTH FD			04/14/99	33.36	3,502	44.16	4,636	1,133		
	(.0530 FRACTIONAL SHARE)			N/A	N/A	N/A	44.16	2	N/A		
	Total Client Investment			$3,008							
	Investment Return			$1,628							

3568

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
174	VAN KAMPEN AMERICAN VALUE FD CL A			04/14/99	20.24	3,523	19.06	3,316	(206)		
	(.6270 FRACTIONAL SHARE)			N/A	N/A	N/A	19.06	11	N/A		
	Total Client Investment			$3,031							
	Investment Return			$284							
	Total Mutual Funds - Equity					27,607		26,313	(1,345)	40	.15
	Total Mutual Funds					27,607		26,313	(1,345)	40	.15
	Total of Long Portfolio					59,170*		57,876	(1,345)*	1,921	3.32

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A Items

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			144.17
			Net Total			144.17
			Funds Received, Withdrawals, and Charges			
01/16	Redeemed	-182	ML RETIREMENT RSRVS CL I			182.00
01/16	Received	182	ML RETIREMENT RSRVS CL I			
			Net Total			182.00
			Other Activity			
01/12	Journal Entry		MFA SELECTS QTR ADV FEE		181.87	
			Net Total		181.87	
			Customer Service			

For information about your account, please call 1-800-MER-LINK (1-800-637-5465). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-8678. When requested, enter your Access Code 92-749-72799.

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3570

DUPLICATE MERRILL LYNCH STATEMENT. STATEMENT RECEIVED BY MAIL IS YOUR OFFICIAL RECORD.

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year-to-Date
Retirement Reserves CL I	$31,600.65	$31,562.82	$144.17	$144.17

SEP Retirement Account Plan Summary

Account Type: SEP PLAN Plan Number:	I8003830	Social Security Number	202-32-0596
Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$.00		

3571

MERRILL LYNCH SEP ACCOUNT

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FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce Fenner & Smith Inc., agree as follows
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account including securities you may acquire or deposit to secure your account:
* We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government action or any other cause beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
We are a member of the Securities Investor Protection Corporation (SIPC). The securities held in your account are covered by SIPC protection and excess-SIPC protection obtained by Merrill Lynch. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Consultant. We are not a bank, and the securities offered by us, unless otherwise indicated, are not backed or guaranteed by any bank nor are they insured by the FDIC. Funds deposited into Merrill Lynch Bank USA or Merrill Lynch Bank & Trust Co through the Merrill Lynch Banking Advantage Program or Retirement Asset Savings Program are insured by the FDIC. Deposits held in different categories of ownership, such as individual, joint, trust, or retirement categories are separately insured up to $100,000 per depositor in each bank.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP and MLBA programs, this fee is up to .80% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that included the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Consultant promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Consultant in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit, Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

	Interest reported to IRS by Merrill Lynch as required by law.
*	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
+	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
.	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF&S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/or cost data not available.
N/C	Not calculated
N/N	Non-negotiable securities.
N/R N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in securities not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

MERRILL LYNCH SEP ACCOUNT

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3573

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MERRILL LYNCH CMA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 02/23/2001 $27,865.10

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	01/26/01 Value	%	02/23/01 Value	%
Cash/Money Accounts	661	2	247	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	30,124	98	27,617	99
Options				
Other				
Long Market Value	30,785		27,864	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	30,786		27,865	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	2.77	5.85
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends		
Income Not Reported		
Total	2.77	5.85

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 247 Investor Credit Line

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10439.87	10659.98	10787.99
Three-Month Treasury Bills	4.88%	5.16%	5.88%
Long-Term Treasury Bonds	5.48%	5.64%	5.45%

NEWS

Are you a CMA(R) Visa(R) Signature(SM) or Visa Gold program subscriber? Your February month-end Visa delay debit occurred on 2/28. Look for your February Visa transactions to be provided on your March statement. My Financial Picture(SM), a new free service, allows you to consolidate all your accounts online -- even those at other financial service providers. See newsletter for more details.

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3574

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MERRILL LYNCH CMA® ACCOUNT

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	661.50	
Net Credits & Debits	413.52DR	506.31DR
Closing Balance Cash & Money Accounts	247.98	

Credits	This Statement	Year-to-Date
Sales	13,371.69	13,371.69
Income	2.77	5.85
Funds Received		
Other		
Total Credits	13,374.46	13,377.54

Debits	This Statement	Year-to-Date
Purchases	13,787.98	13,787.98
Withdrawals		
Other		95.87
Total Debits	13,787.98	13,883.85

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(21.38)	(21.38)
Long-Term	(1,228.21)	(1,228.21)

*-Excludes transactions for which we have insufficient data.

3575

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
160	ALLI PREMIER GR FD ADV	04/14/99	02/20/01	4,100.79	5,475.20	(1,374.41)	LT
1	ALLI PREMIER GR FD ADV	04/15/99	02/20/01	25.63	34.22	(8.59)	LT
3	ALLI PREMIER GR FD ADV	12/21/99	02/20/01	76.89	103.50	(26.61)	LT
11	ALLI PREMIER GR FD ADV	12/21/99	02/20/01	281.94	379.50	(97.56)	LT
3	ROB STEPH EMRGNG GR FD	12/20/00	02/20/01	113.68	130.29	(16.61)	ST
81	ROB STEPH EMRGNG GR FD	04/14/99	02/20/01	3,069.09	2,598.48	470.61	LT
1	ROB STEPH EMRGNG GR FD	04/15/99	02/20/01	37.88	32.08	5.80	LT
5	ROB STEPH EMRGNG GR FD	12/03/99	02/20/01	189.45	240.60	(51.15)	LT
2	NTNS MARSICO FOC EQ INV A	05/24/00	02/16/01	34.19	38.96	(4.77)	ST
312	NTNS MARSICO FOC EQ INV A	04/14/99	02/16/01	5,332.08	5,478.72	(146.64)	LT
5	NTNS MARSICO FOC EQ INV A	05/12/99	02/16/01	85.44	85.10	.34	LT

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
247	CMA MONEY FUND		1.00	247	1.00	247			13	5.62

3576

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
190	AMERICAN FUNDAMENTAL INVESTORS INC CL A			08/24/00	34.45	6,545	29.61	5,625	(919)	.76	1.35
	(.7030 FRACTIONAL SHARE)			N/A	N/A	N/A	29.61	20	N/A		1.35
	Total Client Investment			$6,207							
	Investment Return			($581)							
285	AMERICAN GROWTH FD OF AMERICA CL A			02/20/01	26.21	7,469	25.70	7,324	(145)	41	.56
	(.3870 FRACTIONAL SHARE)			N/A	N/A	N/A	25.70	9	N/A		.56
	Total Client Investment			$7,469							
	Investment Return			($145)							
239	DAVIS NEW YORK VENTURE FD CL Y			08/24/00	32.06	7,663	27.22	6,505	(1,158)	33	.51
	(.6690 FRACTIONAL SHARE)			N/A	N/A	N/A	27.22	18	N/A		.51
	Total Client Investment			$7,065							
	Investment Return			($559)							
149	PBHG LG CAP GR FD			02/20/01	27.00	4,024	26.18	3,900	(123)		
	(.1300 FRACTIONAL SHARE)			N/A	N/A	N/A	26.18	3	N/A		
	Total Client Investment			$4,024							
	Investment Return			($123)							

3577

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MERRILL LYNCH CMA® ACCOUNT

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Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
88	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.55	2,072	22.45	1,975	(95)	34	1.75
	(.3440 FRACTIONAL SHARE)			N/A	N/A	N/A	22.45	7	N/A		1.75
	Total Client Investment			$1,829							
	Investment Return			$146							
38	STATE STR RESCH AURORA FD CL A			02/20/01	29.73	1,130	29.10	1,105	(24)		
	(.3320 FRACTIONAL SHARE)			N/A	N/A	N/A	29.10	9	N/A		
	Total Client Investment			$1,130							
	Investment Return			($24)							
	Total Mutual Funds - Equity					28,907		26,507	(2,464)	185	.70
Mutual Funds - Fixed Income											
220	WASATCH MICRO CAP FD			02/20/01	5.18	1,139	5.04	1,108	(30)		
	(.0770 FRACTIONAL SHARE)			N/A	N/A	N/A	5.04		N/A		
	Total Client Investment			$1,139							
	Investment Return			($30)							
	Total Mutual Funds - Fixed Income					1,139		1,109	(30)		

3578

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MERRILL LYNCH CMA® ACCOUNT

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Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total Mutual Funds					30,046		27,617	(2,494)	185	.67
	Total of Long Portfolio					30,293*		27,864	(2,494)*	199	.72

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/20	Sale	-319	NATIONS MARSICO FOCUS EQUITY CL A PER MFA SELECTS AGRMNT. PRICE 17.090000	17.090		5,451.71
02/21	Purchase	220	WASATCH MICRO CAP FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .077 PROSPECTUS ENCLOSED PRICE 5.180000	5.180	1,140.00	
02/21	Sale	-175	ALLIANCE PREMIER GROWTH FD ADV CL PER MFA SELECTS AGRMNT. PRICE 25.630000	25.630		4,485.25

3579

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/21	Sale	-90	ROBERTSON STEPH EMERGING GROWTH FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .650 PRICE 37.890000	37.890		3,434.73
02/21	Purchase	38	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .332 PROSPECTUS ENCLOSED PRICE 29.740000	29.740	1,139.99	
02/21	Purchase	149	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .130 PROSPECTUS ENCLOSED PRICE 27.010000	27.010	4,028.00	
02/21	Purchase	285	AMERICAN GROWTH FD OF AMERICA CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .387 PROSPECTUS ENCLOSED PRICE 26.210000	26.210	7,479.99	
			Net Total		416.29	
			Dividends and Interest			
02/23	Share Dividend	2	CMA MONEY FUND			
02/23	Cash Dividend		CMA MONEY FUND FROM 1-26 THRU 2-22			.77

3580

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MERRILL LYNCH CMA® ACCOUNT

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
	Income Total		CMA MONEY FUND			2.00
			Net Total			2.77

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds	13,371.69	13,371.69

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

3581

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
01/26	Opening Balance					.50CR	661
02/20	* Sale	-319	NATIONS MARSICO FOCUS EQUITY CL A PER MFA SELECTS AGRMNT. PRICE 17.090000	17.090	5,451.71CR	5,452.21CR	661
02/21	Purchase	220	WASATCH MICRO CAP FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .077 PROSPECTUS ENCLOSED PRICE 5.180000	5.180	1,140.00		
02/21	* Sale	-175	ALLIANCE PREMIER GROWTH FD ADV CL PER MFA SELECTS AGRMNT. PRICE 25.630000	25.630	4,485.25CR		
02/21	* Sale	-90	ROBERTSON STEPH EMERGING GROWTH FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .650 PRICE 37.890000	37.890	3,434.73CR		
02/21	Purchase	38	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .332 PROSPECTUS ENCLOSED PRICE 29.740000	29.740	1,139.99		
02/21	Purchase	149	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .130 PROSPECTUS ENCLOSED PRICE 27.010000	27.010	4,028.00		
02/21	Sale	-416	CMA MONEY FUND		416.00CR		

3582

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
02/21	Purchase	285	AMERICAN GROWTH FD OF AMERICA CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .387 PROSPECTUS ENCLOSED PRICE 26.210000	26.210	7,479.99		
02/23	Share Dividend	2	CMA MONEY FUND			.21CR	245
02/23	Cash Dividend		CMA MONEY FUND FROM 1-26 THRU 2-22		.77CR		
02/23	Closing Balance				.98CR	.98CR	247

Customer Service

For information about your account, please call 1-800-MER-LINK (1-800-637-5465). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678.

3583

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MERRILL LYNCH CMA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 02/23/2001 $1,733.66

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	01/26/01 Value	%	02/23/01 Value	%
Cash/Money Accounts	1,726	100	1,733	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	1,726		1,733	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	1,726		1,733	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	7.49	15.30
Reportable Dividends		
Income Not Reported		
Total	7 49	15.30

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 1,733 Investor Credit Line

NEWS

Are you a CMA(R) Visa(R) Signature(SM) or Visa Gold program subscriber? Your February month-end Visa delay debit occurred on 2/28. Look for your February Visa transactions to be provided on your March statement. My Financial Picture(SM), a new free service, allows you to consolidate all your accounts online -- even those at other financial service providers. See newsletter for more details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10439.87	10659.98	10787.99
Three-Month Treasury Bills	4.88%	5.16%	5.88%
Long-Term Treasury Bonds	5.48%	5.64%	5.45%

3584

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	1,726.17		Sales Income	7.49	15.30	Purchases		
			Funds Received			Withdrawals		
			Other			Other		
Net Credits & Debits	7.49	15.30						
Closing Balance Cash & Money Accounts	1,733.66		Total Credits	7.49	15.30	Total Debits		

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield%	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	1,725	1,725	5.67	7.49	1,733
Total ML Banking Advantage	1,725			7.49	1,733

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
1,733	ML BANKING ADVANTAGE		1.00	1,733	1.00	1,733			98	5.67
	Total Cash/Money Accounts			1,733		1,733			98	5.67
	Total of Long Portfolio			1,733		1,733			98	5.67

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
02/23	x Bank Interest		BANK DEPOSIT INTEREST			.49
	Income Total		ML BANKING ADVANTAGE			7.00
			Net Total			7.49

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
01/26	Opening Balance					1.17CR	1,725

3586

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 02/23/2001 $66,552.84

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW/ 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	01/26/01 Value	%	02/23/01 Value	%
Cash/Money Accounts	20	*		
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	73,239	100	66,552	100
Options				
Other				
*-Less than 1 %				
Long Market Value	73,259		66,552	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	73,259		66,552	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.04	.08
Interest Income		
Dividend Income		
Total	.04	.08

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Have you made your 2000 and/or 2001 IRA/Roth IRA contribution? Realize the power of compounding and tax-deferred growth and contribute today!
My Financial Picture(SM), a new free service, allows you to consolidate all your accounts online -- even those at other financial service providers. See newsletter for more details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10439.87	10659.98	10787.99
Three-Month Treasury Bills	4.88%	5.16%	5.88%
Long-Term Treasury Bonds	5.48%	5.64%	5.45%

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
01/29	Deposit To		ML BANKING ADVANTAGE		1.00	.17CR	1,726
02/23	¤ Bank Interest		BANK DEPOSIT INTEREST		7.49CR		
02/23	Closing Balance				.66CR	.66CR	1,733

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3588

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FBO MICHAEL G OXLEY

MERRILL LYNCH IRRA® ACCOUNT

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	20.75	
Net Credits & Debits	19.68DR	19.86DR
Closing Balance Cash & Money Accounts	1.07	

Credits	This Statement	Year-to-Date
Sales	64,816.26	65,046.76
Income	.04	.08
Funds Received		
Other	4.00	4.00
Total Credits	64,820.30	65,050.84

Debits	This Statement	Year-to-Date
Purchases	64,839.98	64,839.98
Withdrawals		
Other		230.72
Total Debits	64,839.98	65,070.70

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(192.34)	(192.34)
Long-Term	(4,285.98)	(4,287.24)

*-Excludes transactions for which we have insufficient data.

3589

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
23	VAN KAMPN AMER VAL CL A	12/14/00	02/16/01	437.23	435.62	1.61	ST
255	VAN KAMPN AMER VAL CL A	04/14/99	02/16/01	4,847.54	5,097.45	(249.91)	LT
17	VAN KAMPN AMER VAL CL A	12/16/99	02/16/01	323.17	378.59	(55.42)	LT
24	PUTNAM INTL GROWTH FD A	10/13/99	02/21/01	546.96	562.79	(15.83)	LT
39	ALLI PREMIER GR FD ADV	12/20/00	02/20/01	999.57	1,107.99	(108.42)	ST
397	ALLI PREMIER GR FD ADV	04/14/99	02/20/01	10,175.10	13,585.34	(3,410.24)	LT
5	ALLI PREMIER GR FD ADV	12/21/99	02/20/01	128.15	172.50	(44.35)	LT
22	ALLI PREMIER GR FD ADV	12/21/99	02/20/01	563.86	759.00	(195.14)	LT
6	ROB STEPH EMRGNG GR FD	12/20/00	02/20/01	227.35	260.58	(33.23)	ST
158	ROB STEPH EMRGNG GR FD	04/14/99	02/20/01	5,986.62	5,068.63	917.99	LT
9	ROB STEPH EMRGNG GR FD	12/03/99	02/20/01	341.01	433.08	(92.07)	LT
1	ROB STEPH EMRGNG GR FD	12/03/99	02/20/01	37.88	48.12	(10.24)	LT
2	AMERN CENTY INC & GR FD	04/05/00	02/20/01	58.86	68.40	(9.54)	ST
2	AMERN CENTY INC & GR FD	07/03/00	02/20/01	58.86	65.40	(6.54)	ST
1	AMERN CENTY INC & GR FD	10/02/00	02/20/01	29.43	32.54	(3.11)	ST
1	AMERN CENTY INC & GR FD	12/18/00	02/20/01	29.44	29.71	(.27)	ST
566	AMERN CENTY INC & GR FD	04/14/99	02/20/01	16,657.37	17,178.11	(520.74)	LT
1	AMERN CENTY INC & GR FD	06/29/99	02/20/01	29.43	30.44	(1.01)	LT
2	AMERN CENTY INC & GR FD	09/28/99	02/20/01	58.85	59.52	(.67)	LT
1	AMERN CENTY INC & GR FD	12/21/99	02/20/01	29.43	32.73	(3.30)	LT
4	NATIONS MAR GR & INC INV A	05/24/00	02/20/01	64.72	73.84	(9.12)	ST
3	NATIONS MAR GR & INC INV A	05/24/00	02/20/01	48.95	55.38	(6.43)	ST
872	NATIONS MAR GR & INC INV A	04/14/99	02/20/01	14,108.95	13,594.48	514.47	LT
2	NATIONS MAR GR & INC INV A	05/20/99	02/20/01	32.35	30.92	1.43	LT
3	MASS INV TR CL A	04/06/00	02/20/01	57.42	63.60	(6.18)	ST
16	MASS INV TR CL A	12/05/00	02/20/01	306.25	316.96	(10.71)	ST
412	MASS INV TR CL A	07/06/98	02/20/01	7,885.67	8,991.06	(1,105.39)	LT
1	MASS INV TR CL A	10/12/98	02/20/01	19.14	18.30	.84	LT
18	MASS INV TR CL A	12/14/98	02/20/01	344.51	345.06	(.55)	LT
1	MASS INV TR CL A	12/14/98	02/20/01	19.14	19.17	(.03)	LT
4	MASS INV TR CL A	04/01/99	02/20/01	76.56	81.16	(4.60)	LT
11	MASS INV TR CL A	12/16/99	02/20/01	210.54	221.76	(11.22)	LT

3590

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
506	AMERICAN FUNDAMENTAL INVESTORS INC CL A			02/20/01	30.58	15,473	29.61	14,982	(490)	202	1.35
	(.5400 FRACTIONAL SHARE)			N/A	N/A	N/A	29.61	15	N/A		1.35
	Total Client Investment			$15,473							
	Investment Return			($490)							
682	AMERICAN GROWTH FD OF AMERICA CL A			02/20/01	26.21	17,875	25.70	17,527	(347)	98	.56
	(.9450 FRACTIONAL SHARE)			N/A	N/A	N/A	25.70	24	N/A		.56
	Total Client Investment			$17,875							
	Investment Return			($347)							
755	MFS VALUE FD CL A			02/20/01	20.50	15,477	20.09	15,167	(309)	174	1.14
	(.6100 FRACTIONAL SHARE)			N/A	N/A	N/A	20.09	12	N/A		1.14
	Total Client Investment			$15,477							
	Investment Return			($309)							
356	PBHG LC CAP GR FD			02/20/01	27.01	9,615	26.18	9,320	(295)		
	(.9050 FRACTIONAL SHARE)			N/A	N/A	N/A	26.18	23	N/A		
	Total Client Investment			$9,615							
	Investment Return			($295)							
147	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.62	3,472	22.45	3,300	(169)	57	1.75

3591

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
	(.4940 FRACTIONAL SHARE)			N/A	N/A	N/A	22.45	11	N/A		1.75
	Total Client Investment			$2,954							
	Investment Return			$345							
106	STATE STR RESCH AURORA FD CL A			02/20/01	29.73	3,152	29.10	3,084	(67)		
	(.2540 FRACTIONAL SHARE)			N/A	N/A	N/A	29.10	7	N/A		
	Total Client Investment			$3,152							
	Investment Return			($67)							
	Total Mutual Funds - Equity					65,067		63,477	(1,677)	534	.84
Mutual Funds - Fixed Income											
610	WASATCH MICRO CAP FD			02/20/01	5.18	3,159	5.04	3,074	(85)		
	(.0390 FRACTIONAL SHARE)			N/A	N/A	N/A	5.04		N/A		
	Total Client Investment			$3,159							
	Investment Return			($85)							
	Total Mutual Funds - Fixed Income					3,159		3,074	(85)		

3592

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total Mutual Funds					68,226		66,552	(1,762)	534	.80

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

Total of Long Portfolio	68,226*	66,552	(1,762)*	534	.80

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/20	Sale	-295	VAN KAMPEN AMERICAN VALUE FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .625 PRICE 19.010000	19.010		5,619.83
02/21	Purchase	610	WASATCH MICRO CAP FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .039 PROSPECTUS ENCLOSED PRICE 5.180000	5.180	3,160.00	
02/21	Sale	-463	ALLIANCE PREMIER GROWTH FD ADV CL PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .736 PRICE 25.630000	25.630		11,885.55

3593

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/21	Sale	-174	ROBERTSON STEPH EMERGING GROWTH FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .479 PRICE 37.890000	37.890		6,611.01
02/21	Sale	-576	AMERN CENTY INC & GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .344 PRICE 29.430000	29.430		16,961.80
02/21	Purchase	106	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .254 PROSPECTUS ENCLOSED PRICE 29.740000	29.740	3,159.99	
02/21	Purchase	356	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .905 PROSPECTUS ENCLOSED PRICE 27.010000	27.010	9,640.00	
02/21	Purchase	755	MFS VALUE FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .610 PROSPECTUS ENCLOSED PRICE 20.500000	20.500	15,490.01	
02/21	Sale	-881	NATIONS MARSICO GRWTH AND INC FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .837 PRICE 16.180000	16.180		14,268.12

3594

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL O OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/21	Purchase	506	AMERICAN FUNDAMENTAL INVESTORS INC CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .540 PROSPECTUS ENCLOSED PRICE 30.580000	30.580	15,489.99	
02/21	Purchase	682	AMERICAN GROWTH FD OF AMERICA CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .945 PROSPECTUS ENCLOSED PRICE 26.210000	26.210	17,899.99	
02/21	Sale	-466	MASSACHUSETTS INVESTORS TRUST CLASS A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .196 PRICE 19.140000	19.140		8,922.99
02/22	Sale	-24	PUTNAM INTERNATIONAL GROWTH FUND CL A PER MFA SELECTS AGRMNT. PRICE 22.790000	22.790		546.96
			Net Total		23.72	
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			.04
			Net Total			.04

3595

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Funds Received, Withdrawals, and Charges			
02/21	Redeemed	-20	ML RETIREMENT RSRVS CL I			
02/21	Received	20	ML RETIREMENT RSRVS CL I			20.00
			Net Total			20.00
			Other Activity			
02/22	Journal Entry		CHARGE OFF VS 05749950 UNIT 749 BATCH # = 00030143727			4.00
			Net Total			4.00
			Customer Service			

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MERRILL LYNCH IRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year-to-Date
Retirement Reserves CL I	$20.30	$.34	$.04	$.08

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number:	7700700	Social Security Number	278-40-8366
Year-End Plan Value as of December 31, 2000	$72,765.44	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

3597

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

TOTAL ACCOUNT VALUE AS OF 02/23/2001 $53,544.12

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FBO PATRICIA OXLEY
7629 HUNTMASTER LN
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Monthly Portfolio Summary

Asset	01/26/01 Value	%	02/23/01 Value	%
Cash/Money Accounts	31,562	55	45	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	26,313	45	53,498	100
Options				
Other				
*-Less than 1 %				
Long Market Value	57,876		53,543	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	57,876		53,544	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	122.25	266.42
Interest Income		
Dividend Income		
Total	122.25	266.42

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Have you made your 2000 and/or 2001 IRA/Roth IRA contribution? Realize the power of compounding and tax-deferred growth and contribute today!
My Financial Picture(SM), a new free service, allows you to consolidate all your accounts online -- even those at other financial service providers. See newsletter for more details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10439.87	10659.98	10787.99
Three-Month Treasury Bills	4.88%	5.16%	5.88%
Long-Term Treasury Bonds	5.48%	5.64%	5.45%

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Statement Period 01/27/01 TO 02/23/01

Account No. 749-72R99

010019 0133

3598

Merrill Lynch

MFA Selects

FBO PATRICIA OXLEY

MERRILL LYNCH SEP ACCOUNT

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	31,563.00	
Net Credits & Debits	31,517.41DR	31,555.11DR
Closing Balance Cash & Money Accounts	45.59	

Credits	This Statement	Year-to-Date
Sales	20,876.34	20,876.34
Income	122.25	266.42
Funds Received		
Other	17.98	17.98
Total Credits	21,016.57	21,160.74

Debits	This Statement	Year-to-Date
Purchases	52,533.98	52,533.98
Withdrawals		
Other		181.87
Total Debits	52,533.98	52,715.85

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(133.99)	(133.99)
Long-Term	(4,276.24)	(4,276.24)

*-Excludes transactions for which we have insufficient data.

3599

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
13	VAN KAMPN AMER VAL CL A	12/14/00	02/16/01	247.14	246.22	.92	ST
128	VAN KAMPN AMER VAL CL A	04/14/99	02/16/01	2,433.27	2,558.72	(125.45)	LT
22	VAN KAMPN AMER VAL CL A	04/30/99	02/16/01	418.22	473.22	(55.00)	LT
11	VAN KAMPN AMER VAL CL A	12/16/99	02/16/01	209.11	244.97	(35.86)	LT
2	PUTNAM INTL GROWTH FD A	10/13/99	02/21/01	45.58	46.89	(1.31)	LT
23	ALLI PREMIER GR FD ADV	12/20/00	02/20/01	589.50	653.43	(63.93)	ST
199	ALLI PREMIER GR FD ADV	04/14/99	02/20/01	5,100.36	6,809.78	(1,709.42)	LT
29	ALLI PREMIER GR FD ADV	04/30/99	02/20/01	743.27	953.52	(210.25)	LT
1	ALLI PREMIER GR FD ADV	05/03/99	02/20/01	25.63	32.88	(7.25)	LT
3	ALLI PREMIER GR FD ADV	12/21/99	02/20/01	76.89	103.50	(26.61)	LT
12	ALLI PREMIER GR FD ADV	12/21/99	02/20/01	307.56	414.00	(106.44)	LT
4	ROB STEPH EMRGNG GR FD	12/20/00	02/20/01	151.57	173.72	(22.15)	ST
79	ROB STEPH EMRGNG GR FD	04/14/99	02/20/01	2,993.30	2,534.32	458.98	LT
15	ROB STEPH EMRGNG GR FD	04/30/99	02/20/01	568.35	474.45	93.90	LT
1	ROB STEPH EMRGNG GR FD	05/03/99	02/20/01	37.89	31.63	6.26	LT
5	ROB STEPH EMRGNG GR FD	12/03/99	02/20/01	189.45	240.60	(51.15)	LT
1	ROB STEPH EMRGNG GR FD	12/03/99	02/20/01	37.89	48.12	(10.23)	LT
4	JANUS TWENTY FUND	12/18/00	02/20/01	193.17	242.00	(48.83)	ST
102	JANUS TWENTY FUND	04/14/99	02/20/01	4,925.57	6,804.42	(1,878.85)	LT
24	JANUS TWENTY FUND	04/30/99	02/20/01	1,158.96	1,540.07	(381.11)	LT
1	JANUS TWENTY FUND	05/03/99	02/20/01	48.29	64.17	(15.88)	LT
7	JANUS TWENTY FUND	12/14/99	02/20/01	338.03	558.60	(220.57)	LT

3600

Merrill Lynch

MFA Mutual Fund Strategies Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
45	RETIREMENT RESERVES CL I		1.00	45	1.00	45			2	5.64

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
403	AMERICAN FUNDAMENTAL INVESTORS INC CL A			02/20/01	30.58	12,323	29.61	11,932	(390)	161	1.35
	(.8590 FRACTIONAL SHARE)			N/A	N/A	N/A	29.61	25	N/A		1.35
	Total Client Investment			$12,323							
	Investment Return			($390)							
544	AMERICAN GROWTH FD OF AMERICA CL A			02/20/01	26.21	14,258	25.70	13,980	(277)	78	.56
	(.6010 FRACTIONAL SHARE)			N/A	N/A	N/A	25.70	15	N/A		.56
	Total Client Investment			$14,258							
	Investment Return			($277)							

3601

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
602	MFS VALUE FD CL A			02/20/01	20.50	12,341	20.09	12,094	(246)	139	1.14
	(.4390 FRACTIONAL SHARE)			N/A	N/A	N/A	20.09	8	N/A		1.14
	Total Client Investment			$12,341							
	Investment Return			($246)							
284	PBHG LG CAP GR FD			02/20/01	27.01	7,670	26.18	7,435	(235)		
	(.7090 FRACTIONAL SHARE)			N/A	N/A	N/A	26.18	18	N/A		
	Total Client Investment			$7,670							
	Investment Return			($235)							
117	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.48	2,747	22.45	2,626	(118)	45	1.75
	(.1770 FRACTIONAL SHARE)			N/A	N/A	N/A	22.45	3	N/A		1.75
	Total Client Investment			$2,429							
	Investment Return			$196							
92	STATE STR RESCH AURORA FD CL A			02/20/01	29.73	2,736	29.10	2,677	(58)		
	(.3000 FRACTIONAL SHARE)			N/A	N/A	N/A	29.10	8	N/A		
	Total Client Investment			$2,736							
	Investment Return			($58)							
	Total Mutual Funds - Equity					52,077		50,827	(1,324)	425	.84

3602

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds - Fixed Income											
529	WASATCH MICRO CAP FD			02/20/01	5.18	2,740	5.04	2,666	(74)		
	(.9230 FRACTIONAL SHARE)			N/A	N/A	N/A	5.04	4	N/A		
	Total Client Investment			$2,740							
	Investment Return			($74)							
	Total Mutual Funds - Fixed Income					2,740		2,670	(74)		
	Total Mutual Funds					54,817		53,498	(1,398)	425	.80
	Total of Long Portfolio					54,862*		53,543	(1,398)*	428	.80

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/20	Sale	-174	VAN KAMPEN AMERICAN VALUE FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .627 PRICE 19.010000	19.010		3,319.66

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3603

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/21	Purchase	529	WASATCH MICRO CAP FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .923 PROSPECTUS ENCLOSED PRICE 5.180000	5.180	2,745.00	
02/21	Purchase	16	PUTNAM INTERNATIONAL GROWTH FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .608 PROSPECTUS ENCLOSED PRICE 22.880000	22.880	379.99	
02/21	Journal Entry	1	PUTNAM INTERNATIONAL GROWTH FUND CL A FULL SHARE ACCUM SHARE VALUE $22.88			
02/21	Sale	-267	ALLIANCE PREMIER GROWTH FD ADV CL PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .589 PRICE 25.630000	25.630		6,858.31
02/21	Sale	-105	ROBERTSON STEPH EMERGING GROWTH FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .053 PRICE 37.890000	37.890		3,980.45
02/21	Purchase	92	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .300 PROSPECTUS ENCLOSED PRICE 29.740000	29.740	2,745.00	

3604

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/21	Purchase	284	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .709 PROSPECTUS ENCLOSED PRICE 27.010000	27.010	7,689.99	
02/21	Purchase	602	MFS VALUE FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .439 PROSPECTUS ENCLOSED PRICE 20.500000	20.500	12,350.00	
02/21	Sale	-138	JANUS TWENTY FUND PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .172 PRICE 48.290000	48.290		6,672.33
02/21	Purchase	403	AMERICAN FUNDAMENTAL INVESTORS INC CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .859 PROSPECTUS ENCLOSED PRICE 30.580000	30.580	12,350.01	
02/21	Purchase	544	AMERICAN GROWTH FD OF AMERICA CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .601 PROSPECTUS ENCLOSED PRICE 26.210000	26.210	14,273.99	
02/22	Sale	-2	PUTNAM INTERNATIONAL GROWTH FUND CL A PER MFA SELECTS AGRMNT. PRICE 22.790000	22.790		45.58
			Net Total		31,657.64	

3605

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			122.25
			Net Total			122.25
			Funds Received, Withdrawals, and Charges			
02/21	Redeemed	-31,685	ML RETIREMENT RSRVS CL I			31,685.00
02/21	Received	31,685	ML RETIREMENT RSRVS CL I			
02/23	Fund Delivery	-45	ML RETIREMENT RSRVS CL I			
02/23	Subscription	45	ML RETIREMENT RSRVS CL I		45.00	
			Net Total			31,640.00
			Other Activity			
02/21	Journal Entry		CHARGE OFF VS 05749950 UNIT 50E BATCH # = 00030135898			17.98
			Net Total			17.98
			Customer Service			

For information about your account, please call 1-800-MER-LINK (1-800-637-5465). To report Lost or Stolen Visa Cards or Checks, please call 1-800-282-6678. When requested, enter your Access Code 92-749-72799.

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3606

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year-to-Date
Retirement Reserves CL I	$31,562.82	$45.07	$122.25	$266.42

SEP Retirement Account Plan Summary

Account Type: SEP PLAN Plan Number:	18003830	Social Security Number	202-32-0696
Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$.00		

3607

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MERRILL LYNCH SEP ACCOUNT

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FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information

You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:

(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.

(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.

(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.

- We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
- We can lend the securities.
- We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.

(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.

(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.

(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance

We are a member of the Securities Investor Protection Corporation (SIPC). The securities held in your account are covered by SIPC protection and excess-SIPC protection obtained by Merrill Lynch. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Consultant. We are not a bank, and the securities offered by us, unless otherwise indicated, are not backed or guaranteed by any bank nor are they insured by the FDIC. Funds deposited into Merrill Lynch Bank USA or Merrill Lynch Bank & Trust Co. through the Merrill Lynch Banking Advantage Program or Retirement Asset Savings Program are insured by the FDIC. Deposits held in different categories of ownership, such as individual, joint, trust, or retirement categories are separately insured up to $100,000 per depositor in each bank.

Other Important Information

(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP and MLBA programs, this fee is up to .50% and is paid by our affiliated banks.

(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)

(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.

(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.

(5) As an option customer, please advise your Financial Consultant promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.

(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Consultant in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity

Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit, Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units

Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

‡	Interest reported to IRS by Merrill Lynch as required by law.
■	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
*	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
;	Transactions reported to IRS
#	Transaction you requested required same-day payment - MLPF&S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

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MERRILL LYNCH CMA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 03/30/2001 $26,050.36

*** MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	02/23/01 Value	%	03/30/01 Value	%
Cash/Money Accounts	247	1	249	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	27,617	99	25,801	99
Options				
Other				
Long Market Value	27,864		26,050	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	27,865		26,050	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	1.27	7.12
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	90.75	90.75
Income Not Reported		
Total	92.02	97.87

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 249 Investor Credit Line

NEWS

Effective June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for detailed information in this month's issue of Merrill Lynch & You. New proposed IRS regulations are meant to simplify minimum required distribution calculations. See newsletter for details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9878.78	10495.28	10787.99
Three-Month Treasury Bills	4.28%	4.85%	5.88%
Long-Term Treasury Bonds	5.45%	5.32%	5.45%

3610

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MERRILL LYNCH CMA® ACCOUNT

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	247.98		Sales		13,371.69	Purchases		13,787.98
			Income	92.02	97.87	Withdrawals		
			Funds Received			Other	90.75	186.62
Net Credits & Debits	1.27	505.04DR	Other					
Closing Balance Cash & Money Accounts	249.25		Total Credits	92.02	13,469.56	Total Debits	90.75	13,974.60

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(21.38)
Long-Term	.00	(1,228.21)

*-Excludes transactions for which we have insufficient data.

3611

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MERRILL LYNCH CMA® ACCOUNT

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Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
248	CMA MONEY FUND		1.00	248	1.00	248			13	5.28
	Total Cash/Money Accounts			249		249			13	5.30

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
193	AMERICAN FUNDAMENTAL INVESTORS INC CL A			08/24/00	34.37	6,634	28.07	5,417	(1,216)	77	1.42
	(.7620 FRACTIONAL SHARE)			N/A	N/A	N/A	28.07	21	N/A		1.42
	Total Client Investment			$6,207							
	Investment Return			($790)							

3612

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Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
285	AMERICAN GROWTH FD OF AMERICA CL A			02/20/01	26.21	7,469	23.26	6,629	(840)	41	.62
	(.3870 FRACTIONAL SHARE)			N/A	N/A	N/A	23.26	9	N/A		.62
	Total Client Investment			$7,469							
	Investment Return			($840)							
239	DAVIS NEW YORK VENTURE FD CL Y			08/24/00	32.06	7,663	26.09	6,235	(1,427)	33	.53
	(.6690 FRACTIONAL SHARE)			N/A	N/A	N/A	26.09	17	N/A		.53
	Total Client Investment			$7,065							
	Investment Return			($830)							
149	PBHG LG CAP GR FD			02/20/01	27.00	4,024	22.89	3,410	(613)		
	(.1370 FRACTIONAL SHARE)			N/A	N/A	N/A	22.89	3	N/A		
	Total Client Investment			$4,024							
	Investment Return			($613)							
88	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.55	2,072	21.16	1,862	(208)	34	1.85
	(.3440 FRACTIONAL SHARE)			N/A	N/A	N/A	21.16	7	N/A		1.85
	Total Client Investment			$1,829							
	Investment Return			$33							

3613

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
38	STATE STR RESCH AURORA FD CL A			02/20/01	29.73	1,130	28.72	1,091	(38)		
	(.3320 FRACTIONAL SHARE)			N/A	N/A	N/A	28.72	9	N/A		
	Total Client Investment			$1,130							
	Investment Return			($38)							
	Total Mutual Funds - Equity					28,995		24,713	(4,342)	187	.76
Mutual Funds - Fixed Income											
220	WASATCH MICRO CAP FD			02/20/01	5.18	1,139	4.94	1,086	(52)		
	(.0770 FRACTIONAL SHARE)			N/A	N/A	N/A	4.94		N/A		
	Total Client Investment			$1,139							
	Investment Return			($52)							
	Total Mutual Funds - Fixed Income					1,139		1,087	(52)		
	Total Mutual Funds					30,135		25,801	(4,394)	187	.73
	Total of Long Portfolio					30,384*		26,050	(4,394)*	200	.77

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A items

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Security Transactions			
02/27		Divd Reinv	2	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $71.51 REINV PRICE $29.61000 QUANTITY BOT 2.4150 AS OF 02/23			
02/27		Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
				Net Total			
				Dividends and Interest			
02/27	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			19.07
02/27	*	Lg Tm Cap Gain		AMERICAN FUNDAMENTAL INVESTORS INC CL A			71.51
03/15	*	Lg Tm Cap Gain		PBHG LG CAP GR FD			.04
03/15	*	Sh Tm Cap Gain		PBHG LG CAP GR FD			.13
03/30		Share Dividend	1	CMA MONEY FUND			
03/30		Cash Dividend		CMA MONEY FUND FROM 2-23 THRU 3-29			.27
		Income Total		CMA MONEY FUND			1.00
				Net Total			92.02

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 CODE # 0000F1 Statement Period 02/24/01 TO 03/30/01 Account No. 749-19458 019018

3615

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Other Activity			
02/27	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.07	
02/27	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		71.51	
02/27	Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.07 REINV PRICE $29.61000 QUANTITY BOT .6440 AS OF 02/23			
03/15	Reinvestment		PBHG LG CAP GR FD		.04	
03/15	Reinvestment		PBHG LG CAP GR FD		.13	
03/15	Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.13 REINV PRICE $23.72000 QUANTITY BOT .0050 AS OF 03/14			
03/15	Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.04 REINV PRICE $23.72000 QUANTITY BOT .0020 AS OF 03/14			
			Net Total		90.75	

3616

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MICHAEL G OXLEY AND

MERRILL LYNCH CMA® ACCOUNT

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		13,371.69

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
02/23	Opening Balance						
02/27	* Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.07CR	.98CR	247
02/27	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.07		
02/27	* Lg Tm Cap Gain		AMERICAN FUNDAMENTAL INVESTORS INC CL A		71.51CR		
02/27	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		71.51		

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 CODE 8 CHANGE REQUESTED Statement Period 02/24/01 TO 03/30/01 Account No. 749-19458 019910

3617

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MERRILL LYNCH CMA® ACCOUNT

MCA Selects

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
02/27	Divd Reinv	2	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $71.51 REINV PRICE $29.61000 QUANTITY BOT 2.4150 AS OF 02/23				
02/27	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM				
02/27	Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.07 REINV PRICE $29.61000 QUANTITY BOT .6440 AS OF 02/23			.98CR	247
03/15	* Lg Tm Cap Gain		PBHG LG CAP GR FD		.04CR		
03/15	Reinvestment		PBHG LG CAP GR FD		.04		
03/15	* Sh Tm Cap Gain		PBHG LG CAP GR FD		.13CR		
03/15	Reinvestment		PBHG LG CAP GR FD		.13		
03/15	Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.13 REINV PRICE $23.72000 QUANTITY BOT .0050 AS OF 03/14				
03/15	Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.04 REINV PRICE $23.72000 QUANTITY BOT .0020 AS OF 03/14			.98CR	247
03/30	Share Dividend	1	CMA MONEY FUND				
03/30	Cash Dividend		CMA MONEY FUND FROM 2-23 THRU 3-29		.27CR		
03/30	**Closing Balance**				**1.25CR**	**1.25CR**	**248**

36118

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Customer Service

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3619

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 03/30/2001 $1,742.48

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	02/23/01 Value	%	03/30/01 Value	%
Cash/Money Accounts	1,733	100	1,742	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	1,733		1,742	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	1,733		1,742	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	8.82	24.12
Reportable Dividends		
Income Not Reported		
Total	8.82	24.12

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 1,742 Investor Credit Line

NEWS

Effective June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for detailed information in this month's issue of Merrill Lynch & You. New proposed IRS regulations are meant to simplify minimum required distribution calculations. See newsletter for details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9878.78	10495.28	10787.99
Three-Month Treasury Bills	4.28%	4.85%	5.88%
Long-Term Treasury Bonds	5.45%	5.32%	5.45%

275977 J PLEASE SEE REVERSE SIDE

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3620

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	1,733.66		Sales Income Funds Received Other	8.82	24.12	Purchases Withdrawals Other		
Net Credits & Debits	8.82	24.12						
Closing Balance Cash & Money Accounts	1,742.48		Total Credits	8.82	24.12	Total Debits		

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield%	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	1,733	1,733	5.33	8.82	1,741
Total ML Banking Advantage	1,733			8.82	1,741

3621

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
1,741	ML BANKING ADVANTAGE		1.00	1,741	1.00	1,741			92	5.33
	Total Cash/Money Accounts			1,742		1,742			92	5.33
	Total of Long Portfolio			1,742		1,742			92	5.33

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
	Dividends and Interest					
03/30	x Bank Interest		BANK DEPOSIT INTEREST			.82
	Income Total		ML BANKING ADVANTAGE			8.00
	Net Total					8.82

3622

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
02/23	Opening Balance						
03/30	Bank Interest		BANK DEPOSIT INTEREST		8.82CR	.66CR	1,733
03/30	Closing Balance				1.48CR	1.48CR	1,741

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Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

TOTAL ACCOUNT VALUE AS OF 03/30/2001 $62,448.60

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	02/23/01 Value	%	03/30/01 Value	%
Cash/Money Accounts				
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	66,552	100	62,447	100
Options				
Other				
Long Market Value	66,552		62,447	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	66,552		62,448	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		.08
Interest Income		
Dividend Income	273.52	273.52
Total	273.52	273.60

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Effective June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for detailed information in this month's issue of Merrill Lynch & You. New proposed IRS regulations are meant to simplify minimum required distribution calculations. See newsletter for details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9878.78	10495.28	10787.99
Three-Month Treasury Bills	4.28%	4.85%	5.88%
Long-Term Treasury Bonds	5.45%	5.32%	5.45%

275981 PLEASE SEE REVERSE SIDE

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3624

Merrill Lynch

MFA Selects

FBO MICHAEL G OXLEY

MERRILL LYNCH IRRA® ACCOUNT

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance			Sales		65,046.76	Purchases		64,839.98
Cash & Money Accounts	1.07		Income	273.52	273.60	Withdrawals		
			Funds Received			Other	273.52	504.24
Net Credits & Debits		19.86DR	Other		4.00			
Closing Balance								
Cash & Money Accounts	1.07		Total Credits	273.52	65,324.36	Total Debits	273.52	65,344.22

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(192.34)
Long-Term	.00	(4,287.24)

*-Excludes transactions for which we have insufficient data.

3625

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY -

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
514	AMERICAN FUNDAMENTAL INVESTORS INC CL A			02/20/01	30.56	15,710	28.07	14,427	(1,282)	205	1.42
	(.6660 FRACTIONAL SHARE)			N/A	N/A	N/A	28.07	18	N/A		1.42
	Total Client Investment			$15,473							
	Investment Return			($1,045)							
682	AMERICAN GROWTH FD OF AMERICA CL A			02/20/01	26.21	17,875	23.26	15,863	(2,011)	98	.62
	(.9450 FRACTIONAL SHARE)			N/A	N/A	N/A	23.26	21	N/A		.62
	Total Client Investment			$17,875							
	Investment Return			($2,011)							
757	MFS VALUE FD CL A			02/20/01	20.49	15,515	19.49	14,753	(762)	130	.88
	(.3000 FRACTIONAL SHARE)			N/A	N/A	N/A	19.49	5	N/A		.88
	Total Client Investment			$15,477							
	Investment Return			(8723)							
356	PBHG LG CAP GR FD			02/20/01	27.01	9,615	22.89	8,148	(1,466)		
	(.9230 FRACTIONAL SHARE)			N/A	N/A	N/A	22.89	21	N/A		
	Total Client Investment			$9,615							
	Investment Return			($1,466)							
147	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.62	3,472	21.16	3,110	(357)	57	1.85

3626

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
	(.4940 FRACTIONAL SHARE)			N/A	N/A	N/A	21.16	10	N/A		1.85
	Total Client Investment			$2,954							
	Investment Return			$155							
106	STATE STR RESCH AURORA FD CL A			02/20/01	29.73	3,152	28.72	3,044	(108)		
	(.2540 FRACTIONAL SHARE)			N/A	N/A	N/A	28.72	7	N/A		
	Total Client Investment			$3,152							
	Investment Return			($108)							
	Total Mutual Funds - Equity					63,342		59,434	(3,986)	493	.83
Mutual Funds - Fixed Income											
610	WASATCH MICRO CAP FD			02/20/01	5.18	3,159	4.94	3,013	(146)		
	(.0390 FRACTIONAL SHARE)			N/A	N/A	N/A	4.94		N/A		
	Total Client Investment			$3,159							
	Investment Return			($146)							
	Total Mutual Funds - Fixed Income					3,159		3,013	(146)		

3627

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total Mutual Funds					68,502		62,447	(6,132)	493	.79
	Total of Long Portfolio					68,502*		62,447	(6,132)*	493	.79

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/27	Divd Reinv	6	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $189.95 REINV PRICE $29.61000 QUANTITY BOT 6.4150 AS OF 02/23			
02/27	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $50.65 REINV PRICE $29.61000 QUANTITY BOT 1.7110 AS OF 02/23			
02/27	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			

3628

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Security Transactions			
03/29		Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $32.49 REINV PRICE $19.22000 QUANTITY BOT 1.6900 AS OF 03/28			
03/29		Journal Entry	1	MFS VALUE FD CL A FULL SHARE ACCUM			
				Net Total			
				Dividends and Interest			
02/27	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			50.65
02/27	*	Lg Tm Cap Gain		AMERICAN FUNDAMENTAL INVESTORS INC CL A			189.95
03/15	*	Lg Tm Cap Gain		PBHG LG CAP GR FD			.11
03/15	*	Sh Tm Cap Gain		PBHG LG CAP GR FD			.32
03/29	*	Dividend		MFS VALUE FD CL A			32.49
				Net Total			273.52
				Other Activity			
02/27		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		50.65	
02/27		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		189.95	
03/15		Reinvestment		PBHG LG CAP GR FD		.11	

3629

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Other Activity			
03/15	Reinvestment		PBHG LG CAP GR FD		.32	
03/15	Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.32 REINV PRICE $23.72000 QUANTITY BOT .0130 AS OF 03/14			
03/15	Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.11 REINV PRICE $23.72000 QUANTITY BOT .0050 AS OF 03/14			
03/29	Reinvestment		MFS VALUE FD CL A		32.49	
			Net Total		273.52	

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year-to-Date
Retirement Reserves CL I	$.34	$.34	$.00	$.08

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number:	7700700	Social Security Number	278-40-8365
Year-End Plan Value as of December 31, 2000	$72,769.44	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

3631

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

TOTAL ACCOUNT VALUE AS OF 03/30/2001 $50,264.73

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

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WASHINGTON DC 20006

Monthly Portfolio Summary

Asset	02/23/01 Value	%	03/30/01 Value	%
Cash/Money Accounts	45	*	45	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	53,498	100	50,218	100
Options				
Other				
*-Less than 1 %				
Long Market Value	53,543		50,264	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	53,544		50,264	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.30	266.72
Interest Income		
Dividend Income	218.09	218.09
Total	218.39	484.81

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Effective June 6, 2001, Important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for detailed information in this month's issue of Merrill Lynch & You. New proposed IRS regulations are meant to simplify minimum required distribution calculations. See newsletter for details.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9878.78	10495.28	10787.99
Three-Month Treasury Bills	4.28%	4.85%	5.88%
Long-Term Treasury Bonds	5.45%	5.32%	5.45%

275589 J PLEASE SEE REVERSE SIDE

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3632

Merrill Lynch

MFA Selects

FBO PATRICIA OXLEY

MERRILL LYNCH SEP ACCOUNT

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	45.59	
Net Credits & Debits	.30	31,554.81DR
Closing Balance Cash & Money Accounts	45.89	

Credits	This Statement	Year-to-Date
Sales Income	210.39	20,876.34
Funds Received		484.81
Other		17.98
Total Credits	218.39	21,379.13

Debits	This Statement	Year-to-Date
Purchases		52,533.98
Withdrawals	218.09	399.96
Other		
Total Debits	218.09	52,933.94

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(133.99)
Long-Term	.00	(4,276.24)

*-Excludes transactions for which we have insufficient data.

275990 PLEASE SEE REVERSE SIDE

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Statement Period 02/24/01 TO 03/30/01

Account No. 749-72R99

3633

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
45	RETIREMENT RESERVES CL I		1.00	45	1.00	45			2	5.23

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
410	AMERICAN FUNDAMENTAL INVESTORS INC CL A			02/20/01	30.56	12,531	28.07	11,508	(1,021)	164	1.42
	(.3380 FRACTIONAL SHARE)			N/A	N/A	N/A	28.07	9	N/A		1.42
	Total Client Investment			$12,323							
	Investment Return			($815)							
544	AMERICAN GROWTH FD OF AMERICA CL A			02/20/01	26.21	14,258	23.26	12,653	(1,604)	78	.62
	(.6010 FRACTIONAL SHARE)			N/A	N/A	N/A	23.26	13	N/A		.62
	Total Client Investment			$14,258							
	Investment Return			($1,604)							

3634

Merrill Lynch

MFA Selects

FBO PATRICIA OXLEY

MERRILL LYNCH SEP ACCOUNT

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds										
Mutual Funds - Equity											
603	MFS VALUE FD CL A			02/20/01	20.49	12,360	19.49	11,752	(608)	103	.88
	(.7870 FRACTIONAL SHARE)			N/A	N/A	N/A	19.49	15	N/A		.88
	Total Client Investment			$12,341							
	Investment Return			($588)							
284	PBHG LG CAP GR FD			02/20/01	27.01	7,670	22.89	6,500	(1,170)		
	(.7240 FRACTIONAL SHARE)			N/A	N/A	N/A	22.89	16	N/A		
	Total Client Investment			$7,670							
	Investment Return			($1,170)							
117	PUTNAM INTERNATIONAL GROWTH FUND CL A			10/13/99	23.48	2,747	21.16	2,475	(267)	45	1.85
	(.1770 FRACTIONAL SHARE)			N/A	N/A	N/A	21.16	3	N/A		1.85
	Total Client Investment			$2,429							
	Investment Return			$46							
92	STATE STR RESCH AURORA FD CL A			02/20/01	29.73	2,736	28.72	2,642	(93)		
	(.3000 FRACTIONAL SHARE)			N/A	N/A	N/A	28.72	8	N/A		
	Total Client Investment			$2,736							
	Investment Return			($93)							
	Total Mutual Funds - Equity					52,303		47,601	(4,763)	393	.83

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3635

Merrill Lynch

MFA Selects

FBO PATRICIA OXLEY

MERRILL LYNCH SEP ACCOUNT

Current Portfolio

Quantity	Security Description	Symbol	Sector	Date Acquired	Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds - Fixed Income											
529	WASATCH MICRO CAP FD			02/20/01	5.18	2,740	4.94	2,613	(126)		
	(.9230 FRACTIONAL SHARE)			N/A	N/A	N/A	4.94	4	N/A		
	Total Client Investment			$2,740							
	Investment Return			($126)							
	Total Mutual Funds - Fixed Income					2,740		2,617	(126)		
	Total Mutual Funds					55,043		50,218	(4,889)	393	.78
	Total of Long Portfolio					55,089*		50,264	(4,889)*	395	.79

DATE ACQUIRED: Date of your initial investment in this fund.
UNIT COST BASIS: Average cost basis for all shares owned
UNREALIZED GAIN or (LOSS): Total market value minus total cost basis

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased (excluding shares purchased through reinvestment)
INVESTMENT RETURN: Value of reinvested shares plus capital appreciation(depreciation) of all shares purchased, including through reinvestment.

* - Excludes N/A items

3636

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
02/27	Divd Reinv	5	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $151.45 REINV PRICE $29.61000 QUANTITY BOT 5.1150 AS OF 02/23			
02/27	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $40.39 REINV PRICE $29.61000 QUANTITY BOT 1.3640 AS OF 02/23			
02/27	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
03/29	Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $25.90 REINV PRICE $19.22000 QUANTITY BOT 1.3480 AS OF 03/28			
			Net Total			
			Dividends and Interest			
02/27	* Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			40.39
02/27	* Lg Tm Cap Gain		AMERICAN FUNDAMENTAL INVESTORS INC CL A			151.45
03/15	* Lg Tm Cap Gain		PBHG LG CAP GR FD			.09
03/15	* Sh Tm Cap Gain		PBHG LG CAP GR FD			.26

3637

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
03/29	*	Dividend		MFS VALUE FD CL A			25.90
		Income Total		RETIREMENT RESERVES CL .I			.30
				Net Total			218.39
				Other Activity			
02/27		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		40.39	
02/27		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		151.45	
03/15		Reinvestment		PBHG LG CAP GR FD		.09	
03/15		Reinvestment		PBHG LG CAP GR FD		.26	
03/15		Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.26 REINV PRICE $23.72000 QUANTITY BOT .0110 AS OF 03/14			
03/15		Divd Reinv		PBHG LG CAP GR FD REINV AMOUNT $.09 REINV PRICE $23.72000 QUANTITY BOT .0040 AS OF 03/14			
03/29		Reinvestment		MFS VALUE FD CL A		25.90	
				Net Total		218.09	

3638

Merrill Lynch

MFA Selects

FBO PATRICIA OXLEY

MERRILL LYNCH SEP ACCOUNT

Customer Service

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Page	Statement Period	Account No.
30 OF 32	02/24/01 TO 03/30/01	749-72R99

019018

3639

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MFA Selects

FBO PATRICIA OXLEY

MERRILL LYNCH SEP ACCOUNT

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year-to-Date
Retirement Reserves CL I	$45.07	$45.37	$.30	$266.72

SEP Retirement Account Plan Summary

Account Type: SEP PLAN Plan Number:	18003830	Social Security Number	202-32-0696
Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$.00		

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3640

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.

* We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
We are a member of the Securities Investor Protection Corporation (SIPC). The securities held in your account are covered by SIPC protection and excess-SIPC protection obtained by Merrill Lynch. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Consultant. We are not a bank, and the securities offered by us, unless otherwise indicated, are not backed or guaranteed by any bank nor are they insured by the FDIC. Funds deposited into Merrill Lynch Bank USA or Merrill Lynch Bank & Trust Co. through the Merrill Lynch Banking Advantage Program or Retirement Asset Savings Program are insured by the FDIC. Deposits held in different categories of ownership, such as individual, joint, trust, or retirement categories are separately insured up to $100,000 per depositor in each bank.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP and MLBA programs, this fee is up to .50% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Consultant promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Consultant in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit, Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

‡	Interest reported to IRS by Merrill Lynch as required by law.
■	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
*	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
:	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF&S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RO	Bonds registered for both principal and interest.

3641

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 04/27/2001 $27,784.54

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 863-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	03/30/01 Value	%	04/27/01 Value	%
Cash/Money Accounts	249	1	161	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	25,801	99	27,622	99
Options				
Other				
Long Market Value	26,050		27,783	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	26,050		27,784	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.62	7.74
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends		90.75
Income Not Reported		
Total	.62	98.49

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 161

NEWS

Reminder: June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10810.05	9878.78	10787.99
Three-Month Treasury Bills	3.63%	4.28%	5.88%
Long-Term Treasury Bonds	5.80%	5.45%	5.45%

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3642

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	249.25		Sales		13,371.69	Purchases		13,787.98
			Income	.62	98.49	Withdrawals		
			Funds Received			Other	88.23	274.85
			Other					
Net Credits & Debits	87.61DR	592.65DR						
Closing Balance Cash & Money Accounts	161.64							
			Total Credits	.62	13,470.18	Total Debits	88.23	14,062.83

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(21.38)
Long-Term	.00	(1,228.21)

*Excludes transactions for which we have insufficient data.

Merrill Lynch

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MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
161	CMA MONEY FUND		1.00	161	1.00	161			7	4.86

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
193	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($402)	6,634	30.08	5,805	(829)	77	1.32
	(.7620 FRACTIONAL SHARE) INITIAL PURCHASE: 08/24/00			N/A	30.08	22	N/A		1.32
285	AMERICAN GROWTH FD OF AMERICA CL A	$7,469	($259)	7,469	25.30	7,210	(259)	41	.57
	(.3870 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	25.30	9	N/A		.57
239	DAVIS NEW YORK VENTURE FD CL Y	$7,065	($531)	7,663	27.34	6,534	(1,130)	33	.51
	(.6690 FRACTIONAL SHARE) INITIAL PURCHASE: 08/24/00			N/A	27.34	18	N/A		.51
149	PBHG LG CAP GR FD	$4,024	($359)	4,024	24.60	3,665	(359)		

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3644

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	(.1370 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	24.60	3	N/A		
68	PUTNAM INTERNATIONAL GROWTH FUND CL A	$1,629	$150	2,072	22.49	1,979	(91)	34	1.74
	(.3440 FRACTIONAL SHARE) INITIAL PURCHASE: 10/13/99			N/A	22.49	7	N/A		1.74
38	STATE STR RESCH AURORA FD CL A	$1,130	$48	1,130	31.01	1,178	48		
	(.3320 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	31.01	10	N/A		
	Total Equity Funds			28,995		26,445	(2,620)	187	.71
	Fixed Income Funds								
220	WASATCH MICRO CAP FD	$1,139	$37	1,139	5.35	1,177	37		
	(.0770 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	5.35		N/A		
	Total Fixed Income Funds			1,139		1,177	37		
	Total Funds			30,135		27,622	(2,583)	187	.68

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A"
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	30,296*	27,783	(2,583)*	194	.70

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3645

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
04/27	Cash Dividend		CMA MONEY FUND FROM 3-30 THRU 4-26			.62
			Net Total			.62
			Other Activity			
04/03	Journal Entry		MFA SELECTS QTR ADV FEE		88.23	
			Net Total		88.23	

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6008925 Page Statement Period Account No.

3646

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		13,371.69

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
03/30	Opening Balance					1.25CR	248
04/02	Purchase	1	CMA MONEY FUND		1.00	.25CR	249
04/03	Journal Entry		MFA SELECTS QTR ADV FEE		88.23		
04/03	Sale	-88	CMA MONEY FUND		88.00CR	.02CR	161
04/27	Cash Dividend		CMA MONEY FUND FROM 3-30 THRU 4-26		.62CR		
04/27	Closing Balance				.64CR	.64CR	161

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CODE # 6060F (R12-3C)

0008928 Page Statement Period Account No.

3647

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MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 04/27/2001 $1,749.01

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	03/30/01 Value	%	04/27/01 Value	%
Cash/Money Accounts	1,742	100	1,749	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	1,742		1,749	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	1,742		1,749	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	6.53	30.65
Reportable Dividends		
Income Not Reported		
Total	6.53	30.65

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 1,749

NEWS

Reminder: June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10810.05	9878.78	10787.99
Three-Month Treasury Bills	3.83%	4.28%	5.88%
Long-Term Treasury Bonds	5.80%	5.45%	5.45%

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3648

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MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	1,742.48	
Net Credits & Debits	6.53	30.65
Closing Balance Cash & Money Accounts	1,749.01	

Credits	This Statement	Year-to-Date
Sales Income	6.53	30.65
Funds Received		
Other		
Total Credits	6.53	30.65

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
Other		
Total Debits		

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	1,741	1,741	4.91	6.53	1,748
Total ML Banking Advantage	1,741			6.53	1,748

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CODE P 6080F (R12-4G)

0008929 Page Statement Period Account No.

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
1,748	ML BANKING ADVANTAGE		1.00	1,748	1.00	1,748			85	4.91
	Total Cash and Money Accounts			1,749		1,749			85	4.91
	Total of Long Portfolio			1,749		1,749			85	4.91

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
	Dividends and Interest					
04/27	Bank Interest.		BANK DEPOSIT INTEREST			.53
	Income Total		ML BANKING ADVANTAGE			6.00
			Net Total			6.53

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Page Statement Period Account No.

3650

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
03/30		Opening Balance					1.48CR	1,741
04/02		Deposit To		ML BANKING ADVANTAGE		1.00	.48CR	1,742
04/27	H	Bank Interest		BANK DEPOSIT INTEREST		6.53CR		
04/27		Closing Balance				1.01CR	1.01CR	1,748

Customer Service

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3651

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CODE # 6060F (R12-00)

0008930 Page Statement Period Account No.

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

Total Account Value As Of 04/27/2001 $66,756.84

MLPF& S CUST FBO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	03/30/01 Value	%	04/27/01 Value	%
Cash/Money Accounts			28	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	62,447	100	66,727	100
Options				
Other				
*-Less than 1 %				
Long Market Value	62,447		66,755	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	62,448		66,756	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.05	.13
Interest Income		
Dividend Income		273.52
Total	.05	273.65

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Reminder: June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10810.05	9878.78	10787.99
Three-Month Treasury Bills	3.83%	4.28%	5.88%
Long-Term Treasury Bonds	5.80%	5.45%	5.45%

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6469521 Page Statement Period Account No.

3652

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	1.07	
Net Credits & Debits	28.20	8.34
Closing Balance Cash & Money Accounts	29.27	

Credits	This Statement	Year-to-Date
Sales	238.84	65,285.60
Income	.05	273.65
Funds Received		
Other		4.00
Total Credits	238.89	65,563.25

Debits	This Statement	Year-to-Date
Purchases		64,839.98
Withdrawals		
Other	210.69	714.93
Total Debits	210.69	65,554.91

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(28.11)	(220.45)
Long-Term	.00	(4,287.24)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
10	AMERN GROW FD OF AMCA A	02/20/01	04/10/01	233.99	262.10	(28.11)	ST

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CODE # 6060F (R12-00)

0008952 Page Statement Period Account No.

3653

Merrill Lynch

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
28	RETIREMENT RESERVES CL I		1.00	28	1.00	28			1	4.81

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
514	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($12)	15,710	30.08	15,461	N/A	205	1.32
	(.6660 FRACTIONAL SHARE)			N/A	30.08	20	N/A		1.32
	INITIAL PURCHASE: 02/20/01								
672	AMERICAN GROWTH FD OF AMERICA CL A	$17,613	($611)	17,613	25.30	17,001	N/A	97	.57
	(.7380 FRACTIONAL SHARE)			N/A	25.30	18	N/A		.57
	INITIAL PURCHASE: 02/20/01								
757	NFS VALUE FD CL A	$15,477	$86	15,515	20.56	15,563	N/A	130	.83
	(.3000 FRACTIONAL SHARE)			N/A	20.56	6	N/A		.83
	INITIAL PURCHASE: 02/20/01								
356	PBHG LG CAP GR FD	$9,615	($857)	9,615	24.60	8,757	N/A		
	(.9230 FRACTIONAL SHARE)			N/A	24.60	22	N/A		

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0008933 Page Statement Period Account No.

3654

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INITIAL PURCHASE: 02/20/01								
147	PUTNAM INTERNATIONAL GROWTH FUND CL A	$2,954	$351	3,472	22.49	3,306	N/A	57	1.74
	(.4940 FRACTIONAL SHARE) INITIAL PURCHASE: 10/13/99			N/A	22.49	11	N/A		1.74
106	STATE STR RESCH AURORA FD CL A	$3,152	$134	3,152	31.01	3,287	N/A		
	(.2540 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	31.01	7	N/A		
	Total Equity Funds			65,080		63,463		491	.77
Fixed Income Funds									
610	WASATCH MICRO CAP FD	$3,159	$103	3,159	5.35	3,263	N/A		
	(.0390 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	5.35		N/A		
	Total Fixed Income Funds			3,159		3,263			
	Total Funds			68,240		66,727		491	.74
	Total of Long Portfolio			68,268*		66,755	*	492	.74

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A"
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

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3655

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
04/11	Sale	-10	AMERICAN GROWTH FD OF AMERICA CL A FRAC SHR QUANTITY .207 PER MFA SELECTS AGRMNT PRICE 23.400000	23.400		238.84
			Net Total			238.84
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			.05
			Net Total			.05
			Funds Received, Withdrawals, and Charges			
04/12	Fund Delivery	-239	ML RETIREMENT RSRVS CL I			
04/12	Subscription	239	ML RETIREMENT RSRVS CL I		239.00	
04/16	Received	211	ML RETIREMENT RSRVS CL I			
04/16	Redeemed	-211	ML RETIREMENT RSRVS CL I			211.00
			Net Total		28.00	
			Other Activity			
04/12	Journal Entry		MFA SELECTS QTR ADV FEE		210.69	

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3656

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total		210.69	

Customer Service

For information about your account, please call 1-800-MER-LINK (1-800-637-5465). To report Lost or Stolen Visa Cards or Checks, please call 1-800-252-5678. When requested, enter your Access Code 01 749-72730.

Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$.34	$28.39	$.05	$.13

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number:	7700700	Social Security Number	278-40-8366
Year-End Plan Value as of December 31, 2000	$72,765.44	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

+ PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

CODE # 6060F (R12-00)

0004926 Page Statement Period Account No.

3657

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

Total Account Value As Of 04/27/2001 $57,765.22

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7829 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	03/30/01 Value	%	04/27/01 Value	%
Cash/Money Accounts	45	*	3,893	7
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	50,218	100	53,872	93
Options				
Other				
*-Less than 1 %				
Long Market Value	50,264		57,765	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	50,264		57,765	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	8.71	275.43
Interest Income		
Dividend Income		218.09
Total	8.71	493.52

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Reminder: June 8, 2001, Important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10810.05	9878.78	10787.99
Three-Month Treasury Bills	3.83%	4.28%	5.88%
Long-Term Treasury Bonds	5.80%	5.45%	5.45%

+ PLEASE SEE REVERSE SIDE

0006937 Page Statement Period Account No

3658

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance			Sales		20,876.34	Purchases		32,533.98
Cash & Money			Income	8.71	493.52	Withdrawals		
Accounts	45.89		Funds Received	4,007.00	4,007.00	Other	168.42	568.38
			Other		17.98			
Net Credits & Debits	3,847.29	27,707.52DR						
Closing Balance								
Cash & Money								
Accounts	3,893.18		Total Credits	4,015.71	25,394.84	Total Debits	168.42	53,102.36

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(133.99)
Long-Term	.00	(4,276.24)

*Excludes transactions for which we have insufficient data.

PLEASE SEE REVERSE SIDE

CODE # 6060F (R12-00)

0008989

Page	Statement Period	Account No.
10 of 20	07/24/01 TO 04/27/02	749-72D80

3659

Merrill Lynch

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
3,893	RETIREMENT RESERVES CL I		1.00	3,893	1.00	3,893			187	4.81

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
410	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	$9	12,531	30.08	12,332	N/A	164	1.32
	(.3380 FRACTIONAL SHARE)			N/A	30.08	10	N/A		1.32
	INITIAL PURCHASE: 02/20/01								
544	AMERICAN GROWTH FD OF AMERICA CL A	$14,258	($495)	14,258	25.30	13,763	N/A	78	.57
	(.6010 FRACTIONAL SHARE)			N/A	25.30	15	N/A		.57
	INITIAL PURCHASE: 02/20/01								
603	MFS VALUE FD CL A	$12,341	$56	12,360	20.56	12,397	N/A	103	.83
	(.7870 FRACTIONAL SHARE)			N/A	20.56	16	N/A		.83
	INITIAL PURCHASE: 02/20/01								
284	PBHG LG CAP GR FD	$7,670	($684)	7,670	24.60	6,986	N/A		
	(.7240 FRACTIONAL SHARE)			N/A	24.60	17	N/A		

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3660

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INITIAL PURCHASE: 02/20/01								
117	PUTNAM INTERNATIONAL GROWTH FUND CL A	$2,429	$201	2,747	22.49	2,631	N/A	45	1.74
	(.1770 FRACTIONAL SHARE)			N/A	22.49	3	N/A		1.74
	INITIAL PURCHASE: 10/13/99								
92	STATE STR RESCH AURORA FD CL A	$2,736	$116	2,736	31.01	2,852	N/A		
	(.3000 FRACTIONAL SHARE)			N/A	31.01	9	N/A		
	INITIAL PURCHASE: 02/20/01								
	Total Equity Funds			52,303		51,036		393	.77
	Fixed Income Funds								
529	WASATCH MICRO CAP FD	$2,740	$89	2,740	5.35	2,830	N/A		
	(.9230 FRACTIONAL SHARE)			N/A	5.35	4	N/A		
	INITIAL PURCHASE: 02/20/01								
	Total Fixed Income Funds			2,740		2,835			
	Total Funds			55,043		53,872		393	.73
	Total of Long Portfolio			58,936*		57,765	*	580	1.00

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CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A items

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CODE # 6060F (9/12-4/0)

0008940

Page	Statement Period	Account No.
[illegible]	[illegible] TO [illegible]	[illegible]

3661

Merrill Lynch

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			8.71
			Net Total			8.71
			Funds Received, Withdrawals, and Charges			
04/09	Funds Received		PREV YR CONTRIBUTION			4,007.00
04/10	Fund Delivery	-4,007	ML RETIREMENT RSRVS CL I			
04/10	Subscription	4,007	ML RETIREMENT RSRVS CL I		4,007.00	
04/11	Received	168	ML RETIREMENT RSRVS CL I			
04/11	Redeemed	-168	ML RETIREMENT RSRVS CL I			168.00
			Net Total			168.00
			Other Activity			
04/10	Journal Entry		MFA SELECTS QTR ADV FEE		168.42	
			Net Total		168.42	

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0068941 Page Statement Period Account No.

3662

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$45.37	$3,893.08	$8.71	$275.43

Retirement Account Plan Summary

Account Type: SEP PLAN Plan Number: 18003830
Year-End Plan Value as of December 31, 2000 $56,988.63
Contributions after 12/30/00 for 2000 $.00
Employer Contributions after 12/30/00 for 2000 $4,007.00

Social Security Number 202-32-0696
Tax Identification Number 00-0000000
Date of Birth 05/25/42

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

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CODE 9 GUNDF (R12 00)

3663

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.

- We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
- We can lend the securities.
- We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
We are a member of the Securities Investor Protection Corporation (SIPC). The securities held in your account are covered by SIPC protection and excess-SIPC protection obtained by Merrill Lynch. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Consultant. We are not a bank, and the securities offered by us, unless otherwise indicated, are not backed or guaranteed by any bank nor are they insured by the FDIC. Funds deposited into Merrill Lynch Bank USA or Merrill Lynch Bank & Trust Co. through the Merrill Lynch Banking Advantage Program or Retirement Asset Savings Program are insured by the FDIC. Deposits held in different categories of ownership, such as individual, joint, trust, or retirement categories are separately insured up to $ 100,000 per depositor in each bank.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP and MCBA programs, this fee is up to 1.50% and is paid by our affiliated bank.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your ATPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Consultant promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Consultant in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

‡	Interest reported to IRS by Merrill Lynch as required by law.
●	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
*	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
;	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
Λ	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/ or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

3664

Merrill Lynch

CMA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

Total Account Value As Of 05/25/2001 $29,087.26

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	04/27/01 Value	%	05/25/01 Value	%
Cash/Money Accounts	161	1	246	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	27,622	99	28,840	99
Options				
Other				
Long Market Value	27,783		29,086	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	27,784		29,087	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.56	8.30
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	19.38	110.13
Income Not Reported		
Total	19.94	118.43

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 246

NEWS

Reminder: June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	11005.37	10810.05	10787.99
Three Month Treasury Bills	3.65%	3.83%	5.68%
Long-Term Treasury Bonds	5.85%	5.80%	5.45%

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3665

Merrill Lynch

Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	161.64	
Net Credits & Debits	85.33	507.32DR
Closing Balance Cash & Money Accounts	246.97	

Credits	This Statement	Year-to-Date
Sales	14,086.77	27,458.46
Income	19.94	118.43
Funds Received		
Other		
Total Credits	14,106.71	27,576.89

Debits	This Statement	Year-to-Date
Purchases	14,002.00	27,789.98
Withdrawals		
Other	19.38	294.23
Total Debits	14,021.38	28,084.21

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(780.80)	(802.18)
Long-Term	(65.66)	(1,293.87)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
4	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	90.88	94.84	(3.96)	ST
3	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	68.16	71.13	(2.97)	ST
1	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	22.72	23.71	(.99)	ST

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MICHAEL G OXLEY AND

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
78	PUTNAM INTL GROWTH FD A	10/13/99	05/22/01	1,772.16	1,829.08	(56.92)	LT
2	PUTNAM INTL GROWTH FD A	12/23/99	05/22/01	45.44	54.18	(8.74)	LT
217	DAVIS NY VENTURE FD CL Y	08/24/00	05/22/01	6,286.48	7,065.52	(779.04)	ST
2	DAVIS NY VENTURE FD CL Y	12/04/00	05/22/01	57.93	54.40	3.53	ST
19	DAVIS NY VENTURE FD CL Y	12/04/00	05/22/01	550.43	516.80	33.63	ST
1	DAVIS NY VENTURE FD CL Y	12/04/00	05/22/01	28.98	27.20	1.78	ST
38	SSR AURORA FD CL A	02/20/01	05/22/01	1,261.22	1,130.11	131.11	ST
149	PBHG LG CAP GR FD	02/20/01	05/22/01	3,860.59	4,024.48	(163.89)	ST

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
246	CMA MONEY FUND		1.00	246	1.00	246			11	4.53

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
264	AMERICAN AMCAP FUND CL A	$4,794	($7)	4,794	18.13	4,786	(7)	55	1.15
	(.3170 FRACTIONAL SHARE)			N/A	18.13	5	N/A		1.15

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3667

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INITIAL PURCHASE: 05/23/01								
194	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($222)	6,664	30.85	5,984	(680)	77	1.29
	(.3850 FRACTIONAL SHARE)			N/A	30.85	11	N/A		1.29
	INITIAL PURCHASE: 08/24/00								
285	AMERICAN GROWTH FD OF AMERICA CL A	$7,469	$91	7,469	26.53	7,561	91	41	.54
	(.3870 FRACTIONAL SHARE)			N/A	26.53	10	N/A		.54
	INITIAL PURCHASE: 02/20/01								
54	BERGER SMALL CAP VAL INVESTOR CL	$1,564	$2	1,564	29.03	1,567	2	17	1.08
	(.5200 FRACTIONAL SHARE)			N/A	29.03	15	N/A		1.08
	INITIAL PURCHASE: 05/23/01								
292	MFS VALUE FD CL A	$6,105	($26)	6,105	20.82	6,079	(26)	50	.82
	(.7790 FRACTIONAL SHARE)			N/A	20.82	16	N/A		.82
	INITIAL PURCHASE: 05/23/01								
82	NATIONS INTERNATIONAL VALUE FUND INV A	$1,494	($16)	1,494	18.02	1,477	(16)		
	(.3270 FRACTIONAL SHARE)			N/A	18.02	5	N/A		
	INITIAL PURCHASE: 05/23/01								
	Total Equity Funds		($178)	28,093		27,522	(636)	242	.88
	Fixed Income Funds								
220	WASATCH MICRO CAP FD	$1,139	$178	1,139	5.99	1,317	178		
	(.0770 FRACTIONAL SHARE)			N/A	5.99		N/A		

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3668

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INITIAL PURCHASE: 02/20/01								
	Total Fixed Income Funds		$178	1,139		1,318	178		
	Total Funds			29,232		28,840	(458)	242	.84
	Total of Long Portfolio			29,478*		29,086	(458)*	253	.87

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
05/21	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
05/23	Sale	-88	PUTNAM INTERNATIONAL GROWTH FUND CL A	22.720		2,007.18

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3669

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Security Transactions			
				PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .344 PRICE 22.720000			
05/23	*	Sale	-239	DAVIS NEW YORK VENTURE FD CL Y PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .669 PRICE 28.970000	28.970		6,943.21
05/23	*	Sale	-38	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .332 PRICE 33.190000	33.190		1,272.24
05/23	*	Sale	-149	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .137 PRICE 25.910000	25.910		3,864.14
05/24		Purchase	82	NATIONS INTERNATIONAL VALUE FUND INV A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .327 PROSPECTUS ENCLOSED PRICE 18.220000	18.220	1,500.00	
05/24		Purchase	292	MFS VALUE FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .779 PROSPECTUS ENCLOSED PRICE 20.910000	20.910	6,122.01	

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3670

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MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
05/24	Purchase	54	BERGER SMALL CAP VAL INVESTOR CL PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .520 PROSPECTUS ENCLOSED PRICE 28.980000	28.980	1,579.99	
05/24	Purchase	264	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .317 PROSPECTUS ENCLOSED PRICE 18.160000	18.160	4,800.00	
			Net Total			84.77
			Dividends and Interest			
05/21 *	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			19.38
05/25	Cash Dividend		CMA MONEY FUND FROM 04-26 THRU 05-24			.56
			Net Total			19.94

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Merrill Lynch

MFA Select Portfolio Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Other Activity			
05/21	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.38	
05/21	Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.38 REINV PRICE $31.11000 QUANTITY BOT .6230 AS OF 05/18			
			Net Total		19.38	

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3672

Merrill Lynch

CMA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds	14,086.77	27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
04/27		Opening Balance					.64CR	161
05/21	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.38CR		
05/21		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.38		
05/21		Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.38 REINV PRICE $31.11000 QUANTITY BOT .6230 AS OF 05/18				
05/21		Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A				

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3673

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MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
				FULL SHARE ACCUM			.64CR	161
05/23	*	Sale	-88	PUTNAM INTERNATIONAL GROWTH FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .344 PRICE 22.720000	22.720	2,007.18CR		
05/23	*	Sale	-239	DAVIS NEW YORK VENTURE FD CL Y PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .669 PRICE 28.970000	28.970	6,943.21CR		
05/23	*	Sale	-38	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .332 PRICE 33.190000	33.190	1,272.24CR		
05/23	*	Sale	-149	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .137 PRICE 25.910000	25.910	3,864.14CR	14,087.41CR	161
05/24		Purchase	82	NATIONS INTERNATIONAL VALUE FUND INV A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .327 PROSPECTUS ENCLOSED PRICE 18.220000	18.220	1,500.00		
05/24		Purchase	292	MFS VALUE FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .779 PROSPECTUS ENCLOSED PRICE 20.910000	20.910	6,122.01		
05/24		Purchase	54	BERGER SMALL CAP VAL INVESTOR CL PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .520 PROSPECTUS ENCLOSED PRICE 28.980000	28.980	1,579.99		
05/24		Purchase	264	AMERICAN AMCAP FUND	18.160	4,800.00		

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3674

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MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
			CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .317 PROSPECTUS ENCLOSED PRICE 18.160000				
05/24	Purchase	85	CMA MONEY FUND		85.00	.41CR	246
05/25	Cash Dividend		CMA MONEY FUND FROM 04-26 THRU 05-24		.56CR		
05/25	**Closing Balance**				.97CR	.97CR	246

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3675

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MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 05/25/2001 **$56,278.80**

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	04/27/01 Value	%	05/25/01 Value	%
Cash/Money Accounts	1,749	100	56,278	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	1,749		56,278	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	1,749		56,278	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	6.10	36.75
Reportable Dividends		
Income Not Reported		
Total	6.10	36.75

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 56,278

NEWS

Reminder: June 8, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	11005.37	10810.05	10787.99
Three-Month Treasury Bills	3.65%	3.83%	5.88%
Long-Term Treasury Bonds	5.85%	5.80%	5.45%

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Statement Period 04/28/01 TO 05/25/01

Account No. 749-66T11

010019 0139

3676

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	1,749.01		Sales			Purchases		
			Income	6.10	36.75	Withdrawals		
			Funds Received			Other		
Net Credits & Debits	54,529.79	54,560.44	Other	54,523.69	54,523.69			
Closing Balance Cash & Money Accounts	56,278.80							
			Total Credits	54,529.79	54,560.44	Total Debits		

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	1,748	1,748	4.58	6.10	1,755
Total ML Banking Advantage	1,748			6.10	1,755

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3678

Merrill Lynch

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			54,523		54,523				
1,755	ML BANKING ADVANTAGE		1.00	1,755	1.00	1,755			80	4.58
	Total Cash and Money Accounts			56,278		56,278			80	4.58
	Total of Long Portfolio			56,278		56,278			80	.14

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
05/25	Bank Interest Income Total		BANK DEPOSIT INTEREST			.10
			ML BANKING ADVANTAGE			6.00
			Net Total			6.10

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Other Activity			
05/25	Funds Transfer		WIRE TRF IN D20011453303 ORG=MID AMERICAN TITLE A			54,523.69
			Net Total			54,523.69

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
04/27	**Opening Balance**					1.01CR	1,748
04/30	Deposit To		ML BANKING ADVANTAGE		1.00	.01CR	1,749
05/25	Funds Transfer		WIRE TRF IN D20011453303 ORG=MID AMERICAN TITLE A		54,523.69CR		
05/25	Bank Interest		BANK DEPOSIT INTEREST		6.10CR		
05/25	**Closing Balance**				54,523.80CR	54,523.80CR	1,755

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3680

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

MLPF& S CUST FBO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

Total Account Value As Of 05/25/2001 **$69,304.47**

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	04/27/01 Value	%	05/25/01 Value	%
Cash/Money Accounts	28	*	154	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	66,727	100	69,149	100
Options				
Other				
*-Less than 1 %				
Long Market Value	66,755		69,304	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	66,756		69,304	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.06	.19
Interest Income		
Dividend Income	51.47	324.99
Total	51.53	325.18

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Reminder: June 6, 2001 important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	11005.37	10810.05	10787.99
Three-Month Treasury Bills	3.65%	3.83%	5.88%
Long-Term Treasury Bonds	5.85%	5.80%	5.45%

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27275

Statement Period 04/28/01 TO 05/25/01

Account No. 749-72P30

010018 0116

3681

Merrill Lynch

MFA Selects

MERRILL LYNCH IRA® ACCOUNT

FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	29.27	
Net Credits & Debits	125.56	133.90
Closing Balance Cash & Money Accounts	154.83	

Credits	This Statement	Year-to-Date
Sales	16,125.50	81,411.10
Income	51.53	325.18
Funds Received		
Other		4.00
Total Credits	16,177.03	81,740.28

Debits	This Statement	Year-to-Date
Purchases	16,000.00	80,839.98
Withdrawals		
Other	51.47	766.40
Total Debits	16,051.47	81,606.38

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(40.75)	(261.20)
Long-Term	(118.21)	(4,405.45)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
7	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	159.04	165.97	(6.93)	ST
5	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	113.60	118.55	(4.95)	ST
3	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	68.16	71.13	(2.97)	ST

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3682

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
126	PUTNAM INTL GROWTH FD A	10/13/99	05/22/01	2,862.71	2,954.70	(91.99)	LT
1	PUTNAM INTL GROWTH FD A	12/23/99	05/22/01	22.72	27.09	(4.37)	LT
4	PUTNAM INTL GROWTH FD A	12/23/99	05/22/01	90.88	108.36	(17.48)	LT
1	PUTNAM INTL GROWTH FD A	12/23/99	05/22/01	22.72	27.09	(4.37)	LT
106	SBR AURORA FD CL A	02/20/01	05/22/01	3,518.13	3,152.43	365.70	ST
356	PBHG LG CAP GR FD	02/20/01	05/22/01	9,223.95	9,615.55	(391.60)	ST

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
154	RETIREMENT RESERVES CL I		1.00	154	1.00	154			6	4.48

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
605	AMERICAN AMCAP FUND CL A	$10,986	($18)	10,986	18.13	10,968	N/A	127	1.15
	(.7270 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	18.13	13	N/A		1.15

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3683

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MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
516	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	$445	15,772	30.85	15,918	N/A	206	1.29
	(.3200 FRACTIONAL SHARE)			N/A	30.85	9	N/A		1.29
	INITIAL PURCHASE: 02/20/01								
672	AMERICAN GROWTH FD OF AMERICA CL A	$17,613	$215	17,613	26.53	17,828	N/A	97	.54
	(.7380 FRACTIONAL SHARE)			N/A	26.53	19	N/A		.54
	INITIAL PURCHASE: 02/20/01								
69	BERGER SMALL CAP VAL INVESTOR CL	$1,999	$3	1,999	29.03	2,003	N/A	21	1.08
	(.0130 FRACTIONAL SHARE)			N/A	29.03		N/A		1.08
	INITIAL PURCHASE: 05/23/01								
757	MFS VALUE FD CL A	$15,477	$283	15,515	20.82	15,760	N/A	130	.82
	(.3000 FRACTIONAL SHARE)			N/A	20.82	6	N/A		.82
	INITIAL PURCHASE: 02/20/01								
164	NATIONS INTERNATIONAL VALUE FUND INV A	$2,988	($32)	2,988	18.02	2,955	N/A		
	(.6540 FRACTIONAL SHARE)			N/A	18.02	11	N/A		
	INITIAL PURCHASE: 05/23/01								
	Total Equity Funds		$896	64,876		65,495		583	.89
	Fixed Income Funds								
610	WASATCH MICRO CAP FD	$3,159	$494	3,159	5.99	3,653	N/A		
	(.0390 FRACTIONAL SHARE)			N/A	5.99		N/A		
	INITIAL PURCHASE: 02/20/01								
	Total Fixed Income Funds		$494	3,159		3,654			

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Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total Funds		$1,390	68,035		69,149		583	.84

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts denoted by N/A*.
INITIAL PURCHASE: Date of your initial investment in this fund.

	Total of Long Portfolio			68,190*	69,304	*	590	.85

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
05/21	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $51.47 REINV PRICE $31.11000 QUANTITY BOT 1.6540 AS OF 05/18			
05/21	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
05/23	Sale	-147	PUTNAM INTERNATIONAL	22.720		3,351.06

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3685

Merrill Lynch

MFA Selects

MERRILL LYNCH IRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
			GROWTH FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .494 PRICE 22.720000			
05/23	Sale	-106	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .254 PRICE 33.190000	33.190		3,526.57
05/23	Sale	-356	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .923 PRICE 25.910000	25.910		9,247.87
05/24	Purchase	164	NATIONS INTERNATIONAL VALUE FUND INV A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .654 PROSPECTUS ENCLOSED PRICE 18.220000	18.220	3,000.00	
05/24	Purchase	69	BERGER SMALL CAP VAL INVESTOR CL PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .013 PROSPECTUS ENCLOSED PRICE 28.980000	28.980	2,000.00	
05/24	Purchase	605	AMERICAN ANCAP FUND	18.160	11,000.00	

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3686

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Security Transactions			
				CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .727 PROSPECTUS ENCLOSED PRICE 18.160000			
				Net Total			125.50
				Dividends and Interest			
05/21	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			51.47
		Income Total		RETIREMENT RESERVES CL I			.06
				Net Total			51.53
				Funds Received, Withdrawals, and Charges			
05/24		Fund Delivery	-126	ML RETIREMENT RSRVS CL I			
05/24		Subscription	126	ML RETIREMENT RSRVS CL I		126.00	
				Net Total		126.00	
				Other Activity			
05/21		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		51.47	
				Net Total		51.47	

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3687

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Customer Service

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$28.39	$154.45	$.06	$.19

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number:	7700700	Social Security Number	278-40-8366
Year-End Plan Value as of December 31, 2000	$72,765.44	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

3688

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

Total Account Value As Of 05/25/2001 $59,857.52

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	04/27/01 Value	%	05/25/01 Value	%
Cash/Money Accounts	3,893	7	107	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	53,872	93	59,748	100
Options				
Other				
*Less than 1 %				
Long Market Value	57,765		59,856	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	57,765		59,857	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	12.49	287.92
Interest Income		
Dividend Income	41.03	259.12
Total	53.52	547.04

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Reminder: June 6, 2001, important changes will take place regarding interest rates paid on deposits held in Merrill Lynch Banking Advantage(SM) and Retirement Asset Savings Program(SM). Look for more information in this month's issue of Merrill Lynch & You newsletter.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	11005.37	10810.05	10787.99
Three-Month Treasury Bills	3.65%	3.83%	5.88%
Long-Term Treasury Bonds	5.85%	5.80%	5.45%

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3689

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	3,893.18	
Net Credits & Debits	3,784.62DR	31,492.14DR
Closing Balance Cash & Money Accounts	108.56	

Credits	This Statement	Year-to-Date
Sales	13,102.90	33,979.24
Income	53.52	547.04
Funds Received		4,007.00
Other		17.98
Total Credits	13,156.42	38,551.26

Debits	This Statement	Year-to-Date
Purchases	16,900.01	69,433.99
Withdrawals		
Other	41.03	609.41
Total Debits	16,941.04	70,043.40

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(6.60)	(140.59)
Long-Term	(77.37)	(4,353.61)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
4	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	90.87	94.84	(3.97)	ST
4	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	90.88	94.84	(3.96)	ST
1	PUTNAM INTL GROWTH FD A	12/27/00	05/22/01	22.72	23.71	(.99)	ST

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3690

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
16	PUTNAM INTL GROWTH FD A	02/20/01	05/22/01	363.52	366.07	(2.55)	ST
1	PUTNAM INTL GROWTH FD A	02/21/01	05/22/01	22.73	22.88	(.15)	ST
88	PUTNAM INTL GROWTH FD A	10/13/99	05/22/01	1,999.35	2,063.61	(64.26)	LT
2	PUTNAM INTL GROWTH FD A	12/23/99	05/22/01	45.44	54.18	(8.74)	LT
1	PUTNAM INTL GROWTH FD A	12/23/99	05/22/01	22.72	27.09	(4.37)	LT
92	SSR AURORA FD CL A	02/20/01	05/22/01	3,053.48	2,736.07	317.41	ST
284	FBHG LG CAP GR FD	02/20/01	05/22/01	7,358.44	7,670.83	(312.39)	ST

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
107	RETIREMENT RESERVES CL I		1.00	107	1.00	107			4	4.48

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
633	AMERICAN AMCAP FUND CL A	$11,495	($18)	11,495	18.13	11,476	N/A	132	1.15
	(.2600 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	18.13	4	N/A		1.15

+ PLEASE SEE REVERSE SIDE

3691

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
411	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	$355	12,562	30.85	12,679	N/A	164	1.29
	(.6570 FRACTIONAL SHARE)			N/A	30.85	20	N/A		1.29
	INITIAL PURCHASE: 02/20/01								
544	AMERICAN GROWTH FD OF AMERICA CL A	$14,258	$174	14,258	26.53	14,432	N/A	78	.54
	(.6010 FRACTIONAL SHARE)			N/A	26.53	15	N/A		.54
	INITIAL PURCHASE: 02/20/01								
93	BERGER SMALL CAP VAL INVESTOR CL	$2,695	$4	2,695	29.03	2,699	N/A	29	1.08
	(.1680 FRACTIONAL SHARE)			N/A	29.03	4	N/A		1.08
	INITIAL PURCHASE: 05/23/01								
603	MFS VALUE FD CL A	$12,341	$213	12,360	20.82	12,554	N/A	103	.82
	(.7870 FRACTIONAL SHARE)			N/A	20.82	16	N/A		.82
	INITIAL PURCHASE: 02/20/01								
148	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($29)	2,696	18.02	2,666	N/A		
	(.1890 FRACTIONAL SHARE)			N/A	18.02	3	N/A		
	INITIAL PURCHASE: 05/23/01								
	Total Equity Funds		$699	56,067		56,574		509	.90
	Fixed Income Funds								
529	WASATCH MICRO CAP FD	$2,740	$428	2,740	5.99	3,168	N/A		
	(.9230 FRACTIONAL SHARE)			N/A	5.99	5	N/A		
	INITIAL PURCHASE: 02/20/01								
	Total Fixed Income Funds		$428	2,740		3,174			

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3692

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total Funds		$1,127	58,807		59,748		509	.85

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts *denoted by N/A*.
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	58,915*	59,856	*	514	.86

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
05/21	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $41.03 REINV PRICE $31.11000 QUANTITY BOT 1.3190 AS OF 05/18			
05/23	Sale	-117	PUTNAM INTERNATIONAL GROWTH FUND CL A PER MFA SELECTS AGRMNT.	22.720		2,662.26

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3693

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
411	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	$355	12,562	30.85	12,679	N/A	164	1.29
	(.6570 FRACTIONAL SHARE)			N/A	30.85	20	N/A		1.29
	INITIAL PURCHASE: 02/20/01								
544	AMERICAN GROWTH FD OF AMERICA CL A	$14,258	$174	14,258	26.53	14,432	N/A	78	.54
	(.6010 FRACTIONAL SHARE)			N/A	26.53	15	N/A		.54
	INITIAL PURCHASE: 02/20/01								
93	BERGER SMALL CAP VAL INVESTOR CL	$2,695	$4	2,695	29.03	2,699	N/A	29	1.08
	(.1680 FRACTIONAL SHARE)			N/A	29.03	4	N/A		1.08
	INITIAL PURCHASE: 05/23/01								
603	MFS VALUE FD CL A	$12,341	$213	12,360	20.82	12,554	N/A	103	.82
	(.7870 FRACTIONAL SHARE)			N/A	20.82	16	N/A		.82
	INITIAL PURCHASE: 02/20/01								
148	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($29)	2,696	18.02	2,666	N/A		
	(.1890 FRACTIONAL SHARE)			N/A	18.02	3	N/A		
	INITIAL PURCHASE: 05/23/01								
	Total Equity Funds		$699	56,067		56,574		509	.90
	Fixed Income Funds								
529	WASATCH MICRO CAP FD	$2,740	$428	2,740	5.99	3,168	N/A		
	(.9230 FRACTIONAL SHARE)			N/A	5.99	5	N/A		
	INITIAL PURCHASE: 02/20/01								
	Total Fixed Income Funds		$428	2,740		3,174			

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3694

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
			FRAC SHR QUANTITY .177 PRICE 22.720000			
05/23	Sale	-92	STATE STR RESCH AURORA FD CL A PER MFA SELECTS AGRMNT.	33.190		3,063.44
			FRAC SHR QUANTITY .300 PRICE 33.190000			
05/23	Sale	-284	PBHG LG CAP GR FD PER MFA SELECTS AGRMNT.	25.910		7,377.20
			FRAC SHR QUANTITY .724 PRICE 25.910000			
05/24	Purchase	148	NATIONS INTERNATIONAL VALUE FUND INV A PER MFA SELECTS AGRMNT.	18.220	2,700.00	
			FRAC SHR QUANTITY .189 PROSPECTUS ENCLOSED PRICE 18.220000			
05/24	Purchase	93	BERGER SMALL CAP VAL INVESTOR CL PER MFA SELECTS AGRMNT.	28.980	2,700.01	
			FRAC SHR QUANTITY .168 PROSPECTUS ENCLOSED PRICE 28.980000			
05/24	Purchase	633	AMERICAN AMCAP FUND	18.160	11,500.00	

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CODE # 6060F (R12-00)

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
			CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .260 PROSPECTUS ENCLOSED PRICE 18.160000			
			Net Total		3,797.11	
			Dividends and Interest			
05/21 *	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			41.03
	Income Total		RETIREMENT RESERVES CL I			12.49
			Net Total			53.52
			Funds Received, Withdrawals, and Charges			
05/24	Received	3,798	ML RETIREMENT RSRVS CL I			
05/24	Redeemed	-3,798	ML RETIREMENT RSRVS CL I			3,798.00
			Net Total			3,798.00
			Other Activity			
05/21	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		41.03	
			Net Total		41.03	

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3696

Merrill Lynch

MSA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Customer Service

For information about your account, please call 1-800-MER-LINK (1-800-637-5465). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 92-749-72798.

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$3,893.08	$107.57	$12.49	$287.92

Retirement Account Plan Summary

Account Type: SEP PLAN	Plan Number: 18003830	Social Security Number	202-32-0696
Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$4,007.00		

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

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3697

Merrill Lynch

MFA Asset Management Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
* We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the account. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
We are a member of the Securities Investor Protection Corporation (SIPC). The securities held in your account are covered by SIPC protection and excess-SIPC protection obtained by Merrill Lynch. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Consultant. We are not a bank, and the securities offered by us, unless otherwise indicated, are not backed or guaranteed by any bank nor are they insured by the FDIC. Funds deposited into Merrill Lynch Bank USA or Merrill Lynch Bank & Trust Co. through the Merrill Lynch Banking Advantage Program or Retirement Asset Savings Program are insured by the FDIC. Deposits held in different categories of ownership, such as individual, joint, trust, or retirement categories are separately insured up to $ 100,000 per depositor in each bank.

Other Important Information
(1) We receive a fee from participating institutions of up to 2½ per annum of the average daily balances in the ISA program. In the RASP and MLBA programs this fee is up to .50% and is paid by our affiliated bank.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower,
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Consultant promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Consultant in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Accepting Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit, Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

*	Interest reported to IRS by Merrill Lynch as required by law.
**	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
***	Dividends reported to the IRS by Merrill Lynch as required by law.
•	Merrill Lynch maintains a fundamental opinion on this company.
ii	Transactions reported to IRS.
	Transaction you requested required same-day payment - MLPF&S retained last day's dividend in offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in the stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
KD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

3698

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 06/29/2001 $28,199.09

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	05/25/01 Value	%	06/29/01 Value	%
Cash/Money Accounts	246	1	248	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	28,840	99	27,951	99
Options				
Other				
Long Market Value	29,086		28,199	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	29,087		28,199	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	1.03	9.33
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	160.76	270.89
Income Not Reported		
Total	161.79	280.22

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 246

NEWS

Your statement will identify "unsolicited" trades and ML Online "client entered" trades placed on or after 6/11.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10499.79	10911.94	10787.99
Three-Month Treasury Bills	3.64%	3.61%	5.88%
Long-Term Treasury Bonds	5.75%	5.74%	5.45%

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3699

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	246.97	
Net Credits & Debits	1.03	506.29DR
Closing Balance Cash & Money Accounts	248.00	

Credits	This Statement	Year-to-Date
Sales		27,458.46
Income	161.79	280.22
Funds Received		
Other		
Total Credits	161.79	27,738.68

Debits	This Statement	Year-to-Date
Purchases		27,789.98
Withdrawals		
Other	160.76	454.99
Total Debits	160.76	28,244.97

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

3700

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0024250

 CODE # 6360F (R1) Statement Period 05/26/01 TO 06/29/01 Account No 749-19458 019018 0130

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
247	CMA MONEY FUND		1.00	247	1.00	247			10	4.24
	Total Cash and Money Accounts			248		248			10	4.24

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
273	AMERICAN AMCAP FUND CL A	$4,794	($131)	4,945	17.08	4,662	(283)	57	1.22
	(.1960 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	17.08	3	N/A		1.22
194	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($529)	6,664	29.27	5,678	(985)	77	1.36
	(.3850 FRACTIONAL SHARE) INITIAL PURCHASE: 08/24/00			N/A	29.27	11	N/A		1.36
285	AMERICAN GROWTH FD OF	$7,469	($208)	7,469	25.48	7,261	(208)	41	.56

+ PLEASE SEE REVERSE SIDE

0024251

Page Statement Period Account No.

3701

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	AMERICA CL A (.3870 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	25.48	9	N/A		.56
54	BERGER SMALL CAP VAL INVESTOR CL	$1,564	$24	1,564	29.43	1,589	24	17	1.07
	(.5200 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	29.43	15	N/A		1.07
293	MFS VALUE FD CL A	$6,126	($202)	6,126	20.22	5,924	(202)	45	.77
	(.3470 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	20.22	7	N/A		.77
82	NATIONS INTERNATIONAL VALUE FUND INV A	$1,494	($72)	1,494	17.34	1,421	(72)		
	(.3270 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	17.34	5	N/A		
	Total Equity Funds		($1,118)	28,265		26,591	(1,726)	239	.90
	Fixed Income Funds								
220	WASATCH MICRO CAP FD	$1,139	$220	1,139	6.18	1,359	220		
	(.0770 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.18		N/A		
	Total Fixed Income Funds		$220	1,139		1,360	220		
	Total Funds		($898)	29,404		27,951	(1,506)	239	.86

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. **UNREALIZED GAIN or (LOSS):** Estimated Market Value minus Total Cost Basis.

+ PLEASE SEE REVERSE SIDE

3702

Merrill Lynch
MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			29,652*		28,199	(1,506)*	249	.89

Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
06/25	Divd Reinv	8	AMERICAN AMCAP FUND CL A REINV AMOUNT $149.34 REINV PRICE $16.82000 QUANTITY BOT 8.8790 AS OF 06/22			
06/25	Journal Entry	1	AMERICAN AMCAP FUND CL A FULL SHARE ACCUM			
06/28	Journal Entry	1	MFS VALUE FD CL A FULL SHARE ACCUM			
			Net Total			

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0026253

Statement Period 05/26/01 TO 05/29/01

Account No. 749-19458

016018 0130

3703

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
06/25	*	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A			149.34
06/28	*	Dividend		MFS VALUE FD CL A			11.42
06/29		Share Dividend	1	CMA MONEY FUND			
06/29		Cash Dividend		CMA MONEY FUND FROM 05-25 THRU 06-28			.03
		Income Total		CMA MONEY FUND			1.00
				Net Total			161.79
				Other Activity			
06/25		Reinvestment		AMERICAN AMCAP FUND CL A		149.34	
06/28		Reinvestment		MFS VALUE FD CL A		11.42	
06/28		Divd Reinv		MFS VALUE FD CL A REINV AMOUNT $11.42 REINV PRICE $20.11000 QUANTITY BOT .5680 AS OF 06/27			
				Net Total		160.76	

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6024264

 CODE # 5060F (R1) Statement Period 05/26/01 TO 06/29/01 Account No. 749-19458 010018 0130

3704

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
05/25	Opening Balance						
06/25 *	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A		149.34CR	.97CR	246
06/25	Reinvestment		AMERICAN AMCAP FUND CL A		149.34		
06/25	Divd Reinv	8	AMERICAN AMCAP FUND CL A REINV AMOUNT $149.34 REINV PRICE $16.82000 QUANTITY BOT 8.8790 AS OF 06/22				
06/25	Journal Entry	1	AMERICAN AMCAP FUND CL A				

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0024255

Page

Statement Period

Account No.

3705

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
			FULL SHARE ACCUM			.97CR	246
06/28 *	Dividend		MFS VALUE FD CL A		11.42CR		
06/28	Reinvestment		MFS VALUE FD CL A		11.42		
06/28	Divd Reinv		MFS VALUE FD CL A				
			REINV AMOUNT $11.42				
			REINV PRICE $20.11000				
			QUANTITY BOT .5680				
			AS OF 06/27				
06/28	Journal Entry	1	MFS VALUE FD CL A				
			FULL SHARE ACCUM			.97CR	246
06/29	Share Dividend	1	CMA MONEY FUND				
06/29	Cash Dividend		CMA MONEY FUND		.03CR		
			FROM 05-25 THRU 06-28				
06/29	Closing Balance				1.00CR	1.00CR	247

Customer Service

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3706

+ PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 06/29/2001 $54,627.01

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	05/25/01 Value	%	06/29/01 Value	%
Cash/Money Accounts	56,278	100	54,627	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	56,278		54,627	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	56,278		54,627	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	190.32	227.07
Reportable Dividends		
Income Not Reported		
Total	190.32	227.07

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 54,627

NEWS

Your statement will identify "unsolicited" trades and ML Online "client entered" trades placed on or after 8/11.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10499.79	10911.94	10787.99
Three-Month Treasury Bills	3.64%	3.61%	5.88%
Long-Term Treasury Bonds	5.75%	5.74%	5.45%

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3707

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	56,278.80	
Net Credits & Debits	1,651.79DR	52,908.65
Closing Balance Cash & Money Accounts	54,627.01	

Credits	This Statement	Year-to-Date
Sales Income	190.32	227.07
Funds Received		
Other		54,523.69
Total Credits	190.32	54,750.76

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
CMA Checks	1,742.11	1,742.11
Other	100.00	100.00
Total Debits	1,842.11	1,842.11

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	1,755	48,524	4.13	190.32	54,625
Total ML Banking Advantage	1,755			190.32	54,625

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0024258

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			2		2				
54,625	ML BANKING ADVANTAGE		1.00	54,625	1.00	54,625			2,256	4.13
	Total Cash and Money Accounts			54,627		54,627			2,256	4.13
	Total of Long Portfolio			54,627		54,627			2,256	4.13

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
06/29	Bank Interest		BANK DEPOSIT INTEREST			1.32
	Income Total		ML BANKING ADVANTAGE			189.00
			Net Total			190.32
			Other Activity			
06/05	Annual Charge		CMA ANNUAL FEE		100.00	

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0026259 Page Statement Period Account No

3709

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total		100.00	

Summary of Checking Activity

Date Cleared	Date Written	Check Number	Payee	Amount
05/29	05/21	101	KEMPER OPEN	176.00
05/31	05/24	102	VOLVO FINANCE NORTH AMERICA IN	1,566.11
			Total Checking Activity	1,742.11

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
05/25	Opening Balance					54,923.80CR	1,755
05/29	Check		KEMPER OPEN		176.00		
05/29	Deposit To		ML BANKING ADVANTAGE		54,347.00	.80CR	56,102
05/31	Check		VOLVO FINANCE NORTH AMERICA IN		1,566.11		
05/31	Withdrawal		ML BANKING ADVANTAGE		1,566.00CR	.69CR	54,536
06/05	Annual Charge		CMA ANNUAL FEE		100.00		
06/05	Withdrawal		ML BANKING ADVANTAGE		100.00CR	.69CR	54,436
06/29	II Bank Interest		BANK DEPOSIT INTEREST		190.32CR		
06/29	Closing Balance				2.01CR	2.01CR	54,625

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3710

MICHAEL G OXLEY AND

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3711

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MERRILL LYNCH IRRA® ACCOUNT

Total Account Value As Of 06/29/2001 $67,101.33

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MER-LINK

Monthly Portfolio Summary

Asset	05/25/01 Value	%	06/29/01 Value	%
Cash/Money Accounts	154	*	155	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	69,149	100	66,945	100
Options				
Other				
*-Less than 1 %				
Long Market Value	69,304		67,100	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	69,304		67,101	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.65	.84
Interest Income		
Dividend Income	371.77	696.76
Total	372.42	697.60

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Your statement will identify "unsolicited" trades and ML Online "client entered" trades placed on or after 6/11.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10499.79	10911.94	10787.99
Three-Month Treasury Bills	3.64%	3.61%	5.88%
Long-Term Treasury Bonds	5.75%	5.74%	5.45%

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0026243 Page Statement Period Account No.

3713

Merrill Lynch

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance		
Cash & Money Accounts	154.83	
Net Credits & Debits	.65	134.55
Closing Balance		
Cash & Money Accounts	155.48	

Credits	This Statement	Year-to-Date
Sales		81,411.10
Income	372.42	697.60
Funds Received		
Other		4.00
Total Credits	372.42	82,112.70

Debits	This Statement	Year-to-Date
Purchases		80,839.98
Withdrawals		
Other	371.77	1,138.17
Total Debits	371.77	81,978.15

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(261.20)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

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3714

Merrill Lynch

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
155	RETIREMENT RESERVES CL I		1.00	155	1.00	155			6	4.12

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
626	AMERICAN AMCAP FUND CL A	$10,986	($294)	11,340	17.08	10,692	N/A	131	1.22
	(.0740 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	17.08	1	N/A		1.22
516	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($370)	15,772	29.27	15,103	N/A	206	1.36
	(.3200 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	29.27	9	N/A		1.36
672	AMERICAN GROWTH FD OF AMERICA CL A	$17,613	($490)	17.613	25.48	17,122	N/A	97	.56
	(.7380 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	25.48	18	N/A		.56
69	BERGER SMALL CAP VAL	$1,999	$31	1,999	29.43	2,030	N/A	21	1.07

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Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INVESTOR CL (.0130 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	29.43		N/A		1.07
758	MFS VALUE FD CL A (.7680 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$15,477	($150)	15,536 N/A	20.22 20.22	15,326 15	N/A N/A	118	.77 .77
164	NATIONS INTERNATIONAL VALUE FUND INV A (.6540 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$2,988	($144)	2,988 N/A	17.34 17.34	2,843 11	N/A N/A		
	Total Equity Funds		($1,417)	65,249		63,175		575	.91
	Fixed Income Funds								
610	WASATCH MICRO CAP FD (.0390 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$3,159	$610	3,159 N/A	6.18 6.18	3,769	N/A N/A		
	Total Fixed Income Funds		$610	3,159		3,770			
	Total Funds		($807)	68,409		66,945		575	.86

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A"
INITIAL PURCHASE: Date of your initial investment in this fund.

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3716

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			68,564*		67,100	*	582	.87

* - Excludes N/A items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
06/25	Divd Reinv	20	AMERICAN AMCAP FUND CL A REINV AMOUNT $342.24 REINV PRICE $16.82000 QUANTITY BOT 20.3470 AS OF 06/22			
06/25	Journal Entry	1	AMERICAN AMCAP FUND CL A FULL SHARE ACCUM			
06/28	Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $29.53 REINV PRICE $20.11000 QUANTITY BOT 1.4680 AS OF 06/27			
			Net Total			

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0026267 Page Statement Period Account No.

3717

Merrill Lynch

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
06/25	*	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A			342.24
06/28	*	Dividend		MFS VALUE FD CL A			29.53
		Income Total		RETIREMENT RESERVES CL I			.65
				Net Total			372.42
				Other Activity			
06/25		Reinvestment		AMERICAN AMCAP FUND CL A		342.24	
06/28		Reinvestment		MFS VALUE FD CL A		29.53	
				Net Total		371.77	

Customer Service

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reservos CL I	$154.45	$155.10	$.65	$.84

† PLEASE SEE REVERSE SIDE

3718

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Retirement Account Plan Summary

Account Type: IRA ROLLOVER	Plan Number:	7700700	Social Security Number	278-40-8366
Year-End Plan Value as of December 31, 2000		$72,765.44	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000		$.00	Date of Birth	02/11/44

NOTE: To insure accurate IRS reporting, contact your FC if any change is necessary in the following data:
Your Date of Birth: 02/11/44
Your Social Security Number: 278-40-8366

3719

SCHEDULE I - EARNED INCOME

Name Dan Miller

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Kathryn Polk Darsey Trust	Trustee Fee	N/A

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	210 acres Louisiana East Feliciana Parish	$500,001 - $1,000,000	Rent	$2,501 - $5,000	
	AES Corporation	None	CAPITAL GAINS	$201 - $1,000	S
	AFLAC Inc	$15,001 - $50,000	Dividends	$201 - $1,000	S
	Agilent Technologies Inc.	None		NONE	S
	American Bank	$1,001 - $15,000		NONE	
	American Express Co	$15,001 - $50,000	Dividends	$1 - $200	P

3271

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	108.56	
Net Credits & Debits	.40	31,491.74DR
Closing Balance Cash & Money Accounts	108.96	

Credits	This Statement	Year-to-Date
Sales		33,979.24
Income	381.74	928.78
Funds Received		4,007.00
Other		17.98
Total Credits	381.74	38,933.00

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Other	381.34	990.75
Total Debits	381.34	70,424.74

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(140.59)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data.

+ PLEASE SEE REVERSE SIDE

3722

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
107	RETIREMENT RESERVES CL I		1.00	107	1.00	107			4	4.12

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
654	AMERICAN AMCAP FUND CL A	$11,495	($324)	11,848	17.08	11,170	N/A	137	1.22
	(.5320 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	17.08	9	N/A		1.22
411	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	($293)	12,562	29.27	12,029	N/A	164	1.36
	(.6570 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	29.27	19	N/A		1.36
544	AMERICAN GROWTH FD OF AMERICA CL A	$14,258	($397)	14,258	25.48	13,861	N/A	78	.56
	(.6010 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	25.48	15	N/A		.56
93	BERGER SMALL CAP VAL	$2,695	$41	2,695	29.43	2,736	N/A	29	1.07

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3723

Merrill Lynch
MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INVESTOR CL (.1680 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	29.43	4	N/A		1.07
604	MFS VALUE FD CL A (.9580 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$12,341	($128)	12,380 N/A	20.22 20.22	12,212 19	N/A N/A	94	.77 .77
148	NATIONS INTERNATIONAL VALUE FUND INV A (.1890 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$2,696	($130)	2,696 N/A	17.34 17.34	2,566 3	N/A N/A		
	Total Equity Funds		($1,231)	56,440		54,648		504	.92
	Fixed Income Funds								
529	WASATCH MICRO CAP FD (.9230 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$2,740	$529	2,740 N/A	6.18 6.18	3,269 5	N/A N/A		
	Total Fixed Income Funds		$529	2,740		3,274			
	Total Funds		($702)	59,181		57,923		504	.87

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A."
INITIAL PURCHASE: Date of your initial investment in this fund.

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3724

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			59,289*		58,031	*	509	.88

*- Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
06/25	Divd Reinv	21	AMERICAN AMCAP FUND CL A REINV AMOUNT $357.79 REINV PRICE $16.82000 QUANTITY BOT 21.2720 AS OF 06/22			
06/28	Divd Reinv	1	MFB VALUE FD CL A REINV AMOUNT $28.55 REINV PRICE $20.11000 QUANTITY BOT 1.1710 AS OF 06/27			
			Net Total			

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3725

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
06/25	*	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A			357.79
06/28	*	Dividend		MFS VALUE FD CL A			23.55
		Income Total		RETIREMENT RESERVES CL I			.40
				Net Total			381.74
				Other Activity			
06/25		Reinvestment		AMERICAN AMCAP FUND CL A		357.79	
06/28		Reinvestment		MFS VALUE FD CL A		23.55	
				Net Total		381.34	

Customer Service

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SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$107.57	$107.97	$.40	$288.32

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3726

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Retirement Account Plan Summary

Account Type:SEP PLAN	Plan Number: 18003830	Social Security Number	202-32-0696
Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$4,007.00		

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

NOTE: To insure accurate IRS reporting, contact your FC if any change is necessary in the following data:
Your Date of Birth: 05/25/42
Your Social Security Number: 202-32-0696

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3727

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
- We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers
- We can lend the securities.
- We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the account. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412

Insurance
The Securities Investor Protection Corporation (SIPC) protects securities and cash in Merrill Lynch accounts for up to $500,000 per client for securities (including up to $100,000 for cash). Merrill Lynch has obtained coverage in excess of the SIPC limits. SIPC and the excess-SIPC protection do not cover assets that are not securities or assets that are not held at Merrill Lynch. Cash on deposit at depository institutions (through programs such as Merrill Lynch Banking Advantage™ program, Retirement Asset Savings Program™ and ISA® program) or certificates of deposit purchased through Merrill Lynch are held at the depository institution, not at Merrill Lynch, and are protected by the Federal Deposit Insurance Corporation (FDIC) rather than by SIPC or excess-SIPC bond. Deposits held in different categories, such as individual, joint, trust, or retirement are separately insured by the FDIC up to $100,000 per depositor in each bank. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Advisor.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP™ and MLBA™ programs, this fee is up to .50% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Advisor promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Advisor. In writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Cred Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

*	Interest reported to IRS by Merrill Lynch as required by law.
*	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
*	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
#	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
Λ	This transaction was effected through a Specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange.
N/A	Such specialists may have profited or lost in connection with this transaction.
N/C	Value and/ or cost data not available.
N/N	Not calculated
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
NO CUST	Non-negotiable Custodian Registration.
NPC	Interest in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

3728

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

Total Account Value As Of 07/27/2001 $27,676.33

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	06/29/01 Value	%	07/27/01 Value	%
Cash/Money Accounts	248	1	248	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	27,951	99	27,427	99
Options				
Other				
Long Market Value	28,199		27,675	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	28,199		27,676	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.79	10.12
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends		270.89
Income Not Reported		
Total	.79	281.01

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 248

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10416.67	10499.79	10787.99
Three-Month Treasury Bills	3.53%	3.64%	5.88%
Long-Term Treasury Bonds	5.54%	5.75%	5.45%

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3729

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
248	CMA MONEY FUND		1.00	248	1.00	248			9	3.92

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
273	AMERICAN AMCAP FUND CL A (.1960 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$4,794	($172)	4,945	16.93	4,621	($324)	57	1.24
				N/A	16.93	3	N/A		1.24
194	AMERICAN FUNDAMENTAL INVESTORS INC CL A (.3850 FRACTIONAL SHARE) INITIAL PURCHASE: 08/24/00	$6,207	($614)	6,664	28.83	5,593	(1,071)	77	1.38
				N/A	28.83	11	N/A		1.38
285	AMERICAN GROWTH FD OF AMERICA CL A (.3870 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$7,469	($433)	7,469	24.69	7,036	(433)	41	.58
				N/A	24.69	9	N/A		.58
54	BERGER SMALL CAP VAL	$1,564	($8)	1,564	28.83	1,556	(8)	17	1.09

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3730

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MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	248.00	
Net Credits & Debits	.79	505.50DR
Closing Balance Cash & Money Accounts	248.79	

Credits	This Statement	Year-to-Date
Sales		27,458.46
Income	.79	281.01
Funds Received		
Other		
Total Credits	.79	27,739.47

Debits	This Statement	Year-to-Date
Purchases		27,789.98
Withdrawals		
Other		454.99
Total Debits		28,244.97

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

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CODE # 6080D (R12-00)

0015466

Statement Period 06/30/01 TO 07/27/01

Account No. 749-19458

010019 0150

3731

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			29,652*		27,675	(2,028)*	249	.90

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
07/27	Cash Dividend		CMA MONEY FUND FROM 06-29 THRU 07-26			.79
			Net Total			.79

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3732

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MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INVESTOR CL (.5200 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.83	14	N/A		1.09
293	MFS VALUE FD CL A (.3470 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$6,126	($295)	6,126 N/A	19.90 19.90	5,830 6	(295) N/A	45	.78 .78
82	NATIONS INTERNATIONAL VALUE FUND INV A (.3270 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$1,494	($121)	1,494 N/A	16.74 16.74	1,372 5	(121) N/A		
	Total Equity Funds		($1,643)	28,265		26,063	(2,252)	239	.92
	Fixed Income Funds								
220	WASATCH MICRO CAP FD (.0770 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$1,139	$224	1,139 N/A	6.20 6.20	1,364	224 N/A		
	Total Fixed Income Funds		$224	1,139		1,364	224		
	Total Funds		($1,419)	29,404		27,427	(2,028)	239	.87

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A"
INITIAL PURCHASE: Date of your initial investment in this fund.

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CODE # 6060D (R12-00)

3733

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 07/27/2001 $54,775.95

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	06/29/01 Value	%	07/27/01 Value	%
Cash/Money Accounts	54,627	100	54,775	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	54,627		54,775	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	54,627		54,775	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	148.94	376.01
Reportable Dividends		
Income Not Reported		
Total	148.94	376.01

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 54,775

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10416.67	10499.79	10787.99
Three-Month Treasury Bills	3.53%	3.64%	5.88%
Long-Term Treasury Bonds	5.54%	5.75%	5.45%

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0015411 Page Statement Period Account No

3734

Merrill Lynch

MFA Selects

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
06/29	Opening Balance					1.00CR	247
07/02	Purchase	1	CMA MONEY FUND		1.00	.00	248
07/27	Cash Dividend		CMA MONEY FUND FROM 06-29 THRU 07-26		.79CR		
07/27	Closing Balance				.79CR	.79CR	248

Customer Service

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CODE # 6080D (R12-00)

3735

Merrill Lynch

MFA Selects

MERRILL LYNCH SEP ACCOUNT

Total Account Value As Of 07/27/2001 $56,995.61

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	06/29/01 Value	%	07/27/01 Value	%
Cash/Money Accounts	107	*	108	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	57,923	100	56,886	100
Options				
Other				
*-Less than 1 %				
Long Market Value	58,031		56,994	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	58,032		56,995	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.28	288.60
Interest Income		
Dividend Income		640.46
Total	.28	929.06

Items for Attention

Security	Message	Date
	No Items For Attention	

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10416.67	10499.79	10787.99
Three-Month Treasury Bills	3.53%	3.64%	5.88%
Long-Term Treasury Bonds	5.54%	5.75%	5.45%

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Page Statement Period Account No

3736

Merrill Lynch

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	54,627.01	
Net Credits & Debits	148.94	53,057.59
Closing Balance Cash & Money Accounts	54,775.95	

Credits	This Statement	Year-to-Date
Sales Income	148.94	376.01
Funds Received		
Other		54,523.69
Total Credits	148.94	54,899.70

Debits	This Statement	Year-to-Date
Purchases Withdrawals		
CMA Checks		1,742.11
Other		100.00
Total Debits		1,842.11

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	54,625	54,626	3.55	148.94	54,775
Total ML Banking Advantage	54,625			148.94	54,775

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CODE # 6060D (R12-00)

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

Total Account Value As Of 07/27/2001 **$65,878.48**

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	06/29/01 Value	%	07/27/01 Value	%
Cash/Money Accounts	155	*	155	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	66,945	100	65,722	100
Options				
Other				
*Less than 1 %				
Long Market Value	67,100		65,878	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	67,101		65,878	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.51	1.35
Interest Income		
Dividend Income		696.76
Total	.51	698.11

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Did you know that Merrill Lynch has a deposit slip with your name on it? Personalized deposit slips are free and easy to use. Whether you like to make a deposit by visiting your branch office or by mailing it in - pre-printed envelopes are provided. Personalized deposit slips make it more simple and convenient. Call your Financial Advisor or 1-800-MERRILL (637-7455) to place your free order today!

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10416.67	10499.79	10787.99
Three-Month Treasury Bills	3.53%	3.64%	5.88%
Long-Term Treasury Bonds	5.54%	5.75%	5.45%

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3738

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
06/29		Opening Balance					2.01CR	54,625
07/02		Deposit To		ML BANKING ADVANTAGE		2.00	.01CR	54,627
07/27	II	Bank Interest		BANK DEPOSIT INTEREST		148.94CR		
07/27		Closing Balance				.95CR	.95CR	54,775

Customer Service

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±J PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

CODE # 8060D (R12-00)

0015414

Page	Statement Period	Account No
11 of 24	06/30/01 TO 07/27/01	749-66T11

0100 $ 0100

3739

Merrill Lynch

Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
155	RETIREMENT RESERVES CL I		1.00	155	1.00	155			5	3.81

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
626	AMERICAN AMCAP FUND CL A	$10,986	($388)	11,340	16.93	10,598	N/A	131	1.24
	(.0740 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.93	1	N/A		1.24
516	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($597)	15,772	28.83	14,876	N/A	206	1.38
	(.3200 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	28.83	9	N/A		1.38
672	AMERICAN GROWTH FD OF AMERICA CL A	$17,613	($1,021)	17,613	24.69	16,591	N/A	97	.58
	(.7380 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	24.69	18	N/A		.58
69	BERGER SMALL CAP VAL	$1,999	($10)	1,999	28.83	1,989	N/A	21	1.09

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3740

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	155.48	
Net Credits & Debits	.51	135.06
Closing Balance Cash & Money Accounts	155.99	

Credits	This Statement	Year-to-Date
Sales		81,411.10
Income	.51	698.11
Funds Received		
Other		4.00
Total Credits	.51	82,113.21

Debits	This Statement	Year-to-Date
Purchases		80,839.98
Withdrawals		
Other		1,138.17
Total Debits		81,978.15

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(261.20)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

3741

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CODE # 5060D (R12-00)

0015416 Page Statement Period Account No.

Merrill Lynch

MFA Selects

MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Curren Yield %
	Total of Long Portfolio			68,564*		65,878	*	581	.88

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			.51
			Net Total			.51

Customer Service

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$155.10	$155.61	$.51	$1.35

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0015419 Page Statement Period Account No

3742

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INVESTOR CL (.0130 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.83		N/A		1.09
758	MFS VALUE FD CL A (.7680 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$15,477	($393)	15,536 N/A	19.90 19.90	15,084 15	N/A N/A	118	.78 .78
164	NATIONS INTERNATIONAL VALUE FUND INV A (.6540 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$2,988	($242)	2,988 N/A	16.74 16.74	2,745 10	N/A N/A		
	Total Equity Funds		($2,651)	65,249		61,940		575	.93
	Fixed Income Funds								
610	WASATCH MICRO CAP FD (.0390 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$3,159	$622	3,159 N/A	6.20 6.20	3,782	N/A N/A		
	Total Fixed Income Funds		$622	3,159		3,782			
	Total Funds		($2,029)	68,409		65,722		575	.88

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts denoted by N/A.
INITIAL PURCHASE: Date of your initial investment in this fund.

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3743

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MERRILL LYNCH SEP ACCOUNT

Total Account Value As Of 07/27/2001 $56,995.61

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	06/29/01 Value	%	07/27/01 Value	%
Cash/Money Accounts	107	*	108	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	57,923	100	56,886	100
Options				
Other				
*-Less than 1 %				
Long Market Value	58,031		56,994	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	58,032		56,995	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.28	288.60
Interest Income		
Dividend Income		640.46
Total	.28	929.06

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10416.67	10499.79	10787.99
Three-Month Treasury Bills	3.53%	3.64%	5.88%
Long-Term Treasury Bonds	5.54%	5.75%	5.45%

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Page Statement Period Account No

3744

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MERRILL LYNCH IRRA® ACCOUNT

FBO MICHAEL G OXLEY

Retirement Account Plan Summary

Account Type: IRA ROLLOVER	Plan Number:	7700700	Social Security Number	278-40-8366
Year-End Plan Value as of December 31, 2000		$72,765.44	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000		$.00	Date of Birth	02/11/44

+ PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

CODE # 03600 (5/12-00)

3745

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OSELLY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
108	RETIREMENT RESERVES CL I		1.00	108	1.00	108			4	3.81

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Curren Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
654	AMERICAN AMCAP FUND CL A (5320 FRACTIONAL SHARE)	$11,495	($423)	11,848	16.93	11,072	N/A	137	1.24
	INITIAL PURCHASE: 05/23/01			N/A	16.93	9	N/A		1.24
411	AMERICAN FUNDAMENTAL INVESTORS INC CL A (.6570 FRACTIONAL SHARE)	$12,323	($474)	12,562	28.83	11,849	N/A	164	1.38
	INITIAL PURCHASE: 02/20/01			N/A	28.83	10	N/A		1.38
544	AMERICAN GROWTH FD OF AMERICA CL A (.6010 FRACTIONAL SHARE)	$14,258	($826)	14,258	24.69	13,431	N/A	78	.58
	INITIAL PURCHASE: 02/20/01			N/A	24.69	14	N/A		.58
93	BERGER SMALL CAP VAL	$2,695	($13)	2,695	28.83	2,681	N/A	29	1.09

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Page Statement Period Account No

3746

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	108.96	
Net Credits & Debits	.28	31,491,460K
Closing Balance Cash & Money Accounts	109.24	

Credits	This Statement	Year-to-Date
Sales		33,979.24
Income	.28	929.06
Funds Received		4,007.00
Other		17.98
Total Credits	.28	38,933.28

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Other		990.75
Total Debits		70,424.74

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(140.59)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data

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3747

Merrill Lynch

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			59,289*		56,994	*	508	.89

* - Excludes N/A items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
	Income Total		RETIREMENT RESERVES CL I			.28
			Net Total			.28

Customer Service

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SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$107.97	$108.25	$.28	$288.60

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8015425 Page Statement Period Account No.

3748

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	INVESTOR CL (.1680 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.83	4	N/A		1.09
604	MFS VALUE FD CL A (.9580 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$12,341	($321)	12,380 N/A	19.90 19.90	12,019 19	N/A N/A	94	.78 .78
148	NATIONS INTERNATIONAL VALUE FUND INV A (.1890 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$2,696	($219)	2,696 N/A	16.74 16.74	2,477 3	N/A N/A		
	Total Equity Funds		($2,276)	56,440		53,600		504	.94
	Fixed Income Funds								
529	WASATCH MICRO CAP FD (.9230 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$2,740	$539	2,740 N/A	6.20 6.20	3,279 5	N/A N/A		
	Total Fixed Income Funds		$539	2,740		3,285			
	Total Funds		($1,737)	59,181		56,886		504	.89

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis.
Provided for Tax Planning purposes only and is not applicable to retirement accounts *denoted by N/A
INITIAL PURCHASE: Date of your initial investment in this fund

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CODE # 0060D (H12-00)

0015424 Page Statement Period Account No.

3749

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MFA Selects

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Retirement Account Plan Summary

Account Type:SEP PLAN	Plan Number: 18003830	Social Security Number	202-32-0696
Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$4,007.00		

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

3750

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CODE # 6080D (R12-00)

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MFA Multiple Account Selects™

MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
* We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
The Securities Investor Protection Corporation (SIPC) protects securities and cash in Merrill Lynch accounts for up to $500,000 per client for securities (including up to $100,000 for cash). Merrill Lynch has obtained coverage in excess of the SIPC limits. SIPC and the excess-SIPC protection do not cover assets that are not securities or assets that are not held at Merrill Lynch. Cash on deposit at depository institutions (through programs such as Merrill Lynch Banking Advantage℠ program, Retirement Asset Savings Program℠ and IRA℠ program) or certificates of deposit purchased through Merrill Lynch are held at the depository institution, not at Merrill Lynch, and are protected by the Federal Deposit Insurance Corporation (FDIC) rather than by SIPC or excess-SIPC bond. Deposits held in different categories, such as individual, joint, trust, or retirement are separately insured by the FDIC up to $100,000 per depositor in each bank. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Advisor.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP℠ and MLBA℠ programs, this fee is up to .50% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

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World Financial Center
North Tower
New York, N.Y. 10281-1332
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Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIFS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Advisor promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Advisor in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

tr	Interest reported to IRS by Merrill Lynch as required by law.
*	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
•	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
;	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/ or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

3752

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

Total Account Value As Of 08/31/2001 **$26,485.33**

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	07/27/01 Value	%	08/31/01 Value	%
Cash/Money Accounts	248	1	160	1
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	27,427	99	26,324	99
Options				
Other				
Long Market Value	27,675		26,484	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	27,676		26,485	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.76	10.88
Tax Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	19.44	290.33
Income Not Reported		
Total	20.20	301.21

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 160

NEWS

Decided what to do with your income-tax rebate? Why not deposit it in your Merrill Lynch account and let it earn interest and/or dividends. Making a deposit at Merrill Lynch is easy: Just mail it in using free, personalized deposit slips or visit your branch office. IRA clients: To provide security for personal information, your SS# will appear only on June and December IRA statements.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9949.75	10522.81	10787.99
Three-Month Treasury Bills	3.35%	3.59%	5.88%
Long-Term Treasury Bonds	5.38%	5.52%	5.45%

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3753

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	248.79		Sales		27,458.46	Purchases		27,789.98
			Income	20.20	301.21	Withdrawals		
			Funds Received			Other	108.01	563.00
			Other					
Net Credits & Debits	87.81DR	593.31DR						
Closing Balance Cash & Money Accounts	160.98							
			Total Credits	20.20	27,759.67	Total Debits	108.01	28,352.98

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
160	CMA MONEY FUND		1.00	160	1.00	160			5	3.73

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CODE # 69d0- (R12 00)

0012786 Page Statement Period Account No.

3754

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	Total Equity Funds		($2,512)	29,434		26,324	(3,147)	239	.91
	Total Funds		($2,512)	29,434		26,324	(3,147)	239	.91
	Total of Long Portfolio			29,594*		26,484	(3,147)*	245	.93

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your Initial Investment in this fund.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
08/20	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
			Net Total			

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CODE # 606UF (7112-07)

0312789 Page Statement Period Account No.

3755

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
273	AMERICAN AMCAP FUND CL A	$4,794	($396)	4,945	16.11	4,398	(547)	57	1.30
	(.1960 FRACTIONAL SHARE)			N/A	16.11	3	N/A		1.30
	INITIAL PURCHASE: 05/23/01								
195	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($851)	6,693	27.47	5,356	(1,335)	78	1.45
	(.0800 FRACTIONAL SHARE)			N/A	27.47	2	N/A		1.45
	INITIAL PURCHASE: 08/24/00								
285	AMERICAN GROWTH FD OF AMERICA CL A	$7,469	($857)	7,469	23.20	6,612	(857)	41	.62
	(.3870 FRACTIONAL SHARE)			N/A	23.20	8	N/A		.62
	INITIAL PURCHASE: 02/20/01								
54	BERGER SMALL CAP VAL INVESTOR CL	$1,564	($27)	1,564	28.47	1,537	(27)	17	1.10
	(.5200 FRACTIONAL SHARE)			N/A	28.47	14	N/A		1.10
	INITIAL PURCHASE: 05/23/01								
293	MFS VALUE FD CL A	$6,126	($477)	6,126	19.28	5,649	(477)	45	.80
	(.3470 FRACTIONAL SHARE)			N/A	19.28	6	N/A		.80
	INITIAL PURCHASE: 05/23/01								
82	NATIONS INTERNATIONAL VALUE FUND INV A	$1,494	($113)	1,494	16.84	1,380	(113)		
	(.3270 FRACTIONAL SHARE)			N/A	16.84	5	N/A		
	INITIAL PURCHASE: 05/23/01								
220	WASATCH MICRO CAP FD	$1,139	$209	1,139	6.13	1,348	209		
	(.0770 FRACTIONAL SHARE)			N/A	6.13		N/A		
	INITIAL PURCHASE: 02/20/01								

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3756

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MICHAEL G OXLEY AND

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
08/20	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			19.44
08/31		Cash Dividend		CMA MONEY FUND FROM 07-27 THRU 08-30			.76
				Net Total			20.20
				Other Activity			
08/06		Journal Entry		MFA SELECTS QTR ADV FEE		88.57	
08/20		Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.44	
08/20		Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.44 REINV PRICE $27.98000 QUANTITY BOT .6950 AS OF 08/17			
				Net Total		108.01	

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Page Statement Period Account No.

3757

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
08/31	Cash Dividend		CMA MONEY FUND FROM 07-27 THRU 08-30		.76CR		
08/31	Closing Balance				.98CR	.98CR	160

Customer Service

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0012793 Page Statement Period Account No.

3758

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
07/27	Opening Balance					.79CR	248
08/06	Journal Entry		MFA SELECTS QTR ADV FEE		88.57		
08/06	Sale	-88	CMA MONEY FUND		88.00CR	.22CR	160
08/20 *	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.44CR		
08/20	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.44		
08/20	Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.44 REINV PRICE $27.98000 QUANTITY BOT .6950 AS OF 08/17				
08/20	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			.22CR	160

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3759

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 08/31/2001 $54,948.03

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	07/27/01 Value	%	08/31/01 Value	%
Cash/Money Accounts	54,775	100	54,948	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	54,775		54,948	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	54,775		54,948	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	172.08	548.09
Reportable Dividends		
Income Not Reported		
Total	172.08	548.09

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 54,948

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9949.75	10522.81	10787.99
Three-Month Treasury Bills	3.35%	3.52%	5.88%
Long-Term Treasury Bonds	5.38%	5.52%	5.45%

NEWS

Decided what to do with your income-tax rebate? Why not deposit it in your Merrill Lynch account and let it earn interest and/or dividends. Making a deposit at Merrill Lynch is easy: Just mail it in using free, personalized deposit slips or visit your branch office. IRA clients: To provide security for personal information, your SS# will appear only on June and December IRA statements.

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Page Statement Period Account No

3761

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	54,775.95		Sales			Purchases		
			Income	172.08	548.09	Withdrawals		
			Funds Received			CMA Checks		1,742.11
			Other		54,523.69	Other		100.00
Net Credits & Debits	172.08	53,229.67						
Closing Balance Cash & Money Accounts	54,948.03							
			Total Credits	172.08	55,071.78	Total Debits		1,842.11

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	54,775	54,775	3.28	172.08	54,947
Total ML Banking Advantage	54,775			172.08	54,947

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
54,947	ML BANKING ADVANTAGE		1.00	54,947	1.00	54,947			1,802	3.28

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CODE # 6060F (R12-00)

3762

Merrill Lynch

MERRILL LYNCH CMA ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Total Cash and Money Accounts			54,948		54,948			1,802	3.28
	Total of Long Portfolio			54,948		54,948			1,802	3.28

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
08/31	H Bank Interest		BANK DEPOSIT INTEREST			.08
	Income Total		ML BANKING ADVANTAGE			172.00
			Net Total			172.08

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
07/27	Opening Balance					.95CR	54,775
08/31	H Bank Interest		BANK DEPOSIT INTEREST		172.08CR		
08/31	Closing Balance				1.03CR	1.03CR	54,947

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0012795 Page Statement Period Account No.

3763

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

Total Account Value As Of 08/31/2001 $62,981.05

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	07/27/01 Value	%	08/31/01 Value	%
Cash/Money Accounts	155	*	4	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	65,722	100	62,975	100
Options				
Other				
*-Less than 1 %				
Long Market Value	65,878		62,980	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	65,878		62,981	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.34	1.69
Interest Income		
Dividend Income	51.63	748.39
Total	51.97	750.08

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Decided what to do with your income-tax rebate? Why not deposit it in your Merrill Lynch account and let it earn interest and/or dividends. Making a deposit at Merrill Lynch is easy: Just mail it in using free, personalized deposit slips or visit your branch office. IRA clients: To provide security for personal information, your SS# will appear only on June and December IRA statements.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9949.75	10522.81	10787.99
Three-Month Treasury Bills	3.35%	3.52%	5.88%
Long-Term Treasury Bonds	5.38%	5.52%	5.45%

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3764

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Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	155.99		Sales	60.28	81,471.38	Purchases		80,839.98
			Income	51.97	750.08	Withdrawals		
			Funds Received			Other	263.14	1,401.31
			Other		4.00			
Net Credits & Debits	150.89DR	15.83DR						
Closing Balance Cash & Money Accounts	5.10							
			Total Credits	112.25	82,225.46	Total Debits	263.14	82,241.29

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(3.98)	(265.18)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
2	AMERN GROW FD OF AMCA A	02/20/01	08/14/01	48.43	52.41	(3.98)	ST

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3766

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	RETIREMENT RESERVES CL I		1.00	4	1.00	4				3.52

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
626	AMERICAN AMCAP FUND CL A	$10,986	($901)	11,340	16.11	10,084	N/A	131	1.30
	(.0740 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.11	1	N/A		1.30
518	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($1,244)	15,828	27.47	14,229	N/A	207	1.45
	(.1650 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	27.47	4	N/A		1.45
670	AMERICAN GROWTH FD OF AMERICA CL A	$17,560	($2,016)	17,560	23.20	15,544	N/A	97	.62
	(.2490 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	23.20	5	N/A		.62
69	BERGER SMALL CAP VAL INVESTOR CL	$1,999	($35)	1,999	28.47	1,964	N/A	21	1.10
	(.0130 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.47		N/A		1.10
758	MFS VALUE FD CL A	$15,477	($863)	15,536	19.28	14,614	N/A	118	.80

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3767

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MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	(.7680 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	19.28	14	N/A		.80
164	NATIONS INTERNATIONAL VALUE FUND INV A	$2,988	($226)	2,988	16.84	2,761	N/A		
	(.6540 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.84	11	N/A		
610	WASATCH MICRO CAP FD	$3,159	$579	3,159	6.13	3,739	N/A		
	(.0390 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.13		N/A		
	Total Equity Funds		($4,706)	68,412		62,975		576	.91
	Total Funds		($4,706)	68,412		62,975		576	.91

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	68,417*	62,980	*	576	.91

* - Excludes N/A items

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3768

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
08/15	Sale	-2	AMERICAN GROWTH FD OF AMERICA CL A FRAC SHR QUANTITY .469 PER MFA SELECTS AGRMNT PRICE 24.220000	24.220		60.28
08/20	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $51.63 REINV PRICE $27.98000 QUANTITY BOT 1.8450 AS OF 08/17			
08/20	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
			Net Total			60.28
			Dividends and Interest			
08/20 *	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			51.63
	Income Total		RETIREMENT RESERVES CL I			.34
			Net Total			51.97
			Funds Received, Withdrawals, and Charges			
08/16	Fund Delivery	-60	ML RETIREMENT RSRVS CL I			
08/16	Subscription	60	ML RETIREMENT RSRVS CL I		60.00	
08/17	Received	211	ML RETIREMENT RSRVS CL I			
08/17	Redeemed	-211	ML RETIREMENT RSRVS CL I			211.00

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3769

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MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total			151.00
			Other Activity			
08/16	Journal Entry		MFA SELECTS QTR ADV FEE		211.51	
08/20	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		51.63	
			Net Total		263.14	

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Closing	Dividends This Statement	Year to Date
Retirement Reserves CL I	$155.61	$4.95	$.34	$1.69

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number: 7700700
Year-End Plan Value as of December 31, 2000 $72,765.44
Contributions after December 30, 2000 for 2000 $.00
Tax Identification Number 00-0000000
Date of Birth 02/11/44

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3770

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

Total Account Value As Of 08/31/2001 $54,517.82

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	07/27/01 Value	%	08/31/01 Value	%
Cash/Money Accounts	108	*	6	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	56,886	100	54,511	100
Options				
Other				
*Less than 1 %				
Long Market Value	56,994		54,517	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	56,995		54,517	

Income Summary

	This Statement	Year-to-Date
Fund Dividends	.20	288.80
Interest Income		
Dividend Income	41.17	681.63
Total	41.37	970.43

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Decided what to do with your income-tax rebate? Why not deposit it in your Merrill Lynch account and let it earn interest and/or dividends. Making a deposit at Merrill Lynch is easy: Just mail it in using free, personalized deposit slips or visit your branch office. IRA clients: To provide security for personal information, your SS# will appear only on June and December IRA statements.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9949.75	10522.81	10787.99
Three-Month Treasury Bills	3.35%	3.52%	5.88%
Long-Term Treasury Bonds	5.38%	5.52%	5.45%

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3771

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
6	RETIREMENT RESERVES CL I		1.00	6	1.00	6				3.52

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
654	AMERICAN AMCAP FUND CL A	$11,495	($959)	11,848	16.11	10,535	N/A	137	1.30
	(.5320 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.11	8	N/A		1.30
413	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	($978)	12,618	27.47	11,345	N/A	165	1.45
	(.1280 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	27.47	3	N/A		1.45
541	AMERICAN GROWTH FD OF AMERICA CL A	$14,179	($1,628)	14,179	23.20	12,551	N/A	78	.62
	(.2890 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	23.20	6	N/A		.62
93	BERGER SMALL CAP VAL INVESTOR CL	$2,695	($47)	2,695	28.47	2,647	N/A	29	1.10
	(.1680 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.47	4	N/A		1.10
604	MFS VALUE FD CL A	$12,341	($695)	12,380	19.28	11,645	N/A	94	.80

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3772

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	109.24	
Net Credits & Debits	102.45DR	31,593.91DR
Closing Balance Cash & Money Accounts	6.79	

Credits	This Statement	Year-to-Date
Sales	80.22	34,059.46
Income	41.37	970.43
Funds Received		4,007.00
Other		17.98
Total Credits	121.59	39,054.87

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Other	224.04	1,214.79
Total Debits	224.04	70,648.78

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(5.97)	(146.56)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)
3	AMERN GROW FD OF AMCA A	02/20/01	08/14/01	72.66	78.63	(5.97) ST

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0012904 CODE # 0000F (R12-99)

Page Statement Period Account No.

3773

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	(.9580 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	19.28	18	N/A		.80
148	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($204)	2,696	16.84	2,492	N/A		
	(.1890 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.84	3	N/A		
529	WASATCH MICRO CAP FD	$2,740	$502	2,740	6.13	3,242	N/A		
	(.9230 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.13	5	N/A		
	Total Equity Funds		($4,009)	59,158		54,511		504	.93
	Total Funds		($4,009)	59,158		54,511		504	.93

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	59,164*	54,517	*	505	.93

* - Excludes N/A items

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3774

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
08/15	Sale	-3	AMERICAN GROWTH FD OF AMERICA CL A FRAC SHR QUANTITY .312 PER MFA SELECTS AGRMNT PRICE 24.220000	24.220		80.22
08/20	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $41.17 REINV PRICE $27.98000 QUANTITY BOT 1.4710 AS OF 08/17			
08/20	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
			Net Total			80.22
			Dividends and Interest			
08/20 *	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			41.17
	Income Total		RETIREMENT RESERVES CL I			.20
			Net Total			41.37
			Funds Received, Withdrawals, and Charges			
08/16	Fund Delivery	-81	ML RETIREMENT RSRVS CL I			
08/16	Subscription	81	ML RETIREMENT RSRVS CL I		81.00	
08/17	Received	183	ML RETIREMENT RSRVS CL I			
08/17	Redeemed	-183	ML RETIREMENT RSRVS CL I			183.00

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0012807 Page Statement Period 07/28/04 TO 08/24/04 Account No. 748 70P00

3775

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MERRILL LYNCH SEP ACCOUNT

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FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total			102.00
			Other Activity			
08/16	Journal Entry		MFA SELECTS QTR ADV FEE		182.87	
08/20	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		41.17	
			Net Total		224.04	

Customer Service

For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 92-749-72799.

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$108.25	$6.45	$.20	$288.80

Retirement Account Plan Summary

Account Type:SEP PLAN Plan Number: 18003830

Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$4,007.00		

Tax Year 2001 Tax Year 2000

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CODE # 8069F (R12-00)

0012808 Page Statement Period Account No.

3776

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FBO PATRICIA OXLEY

Retirement Account Plan Summary

Contributions :		
Employer Contributions	$.00	$4,007.00

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0012009 Page Statement Period Account No.

3777

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FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
* We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
The Securities Investor Protection Corporation (SIPC) protects securities and cash in Merrill Lynch accounts for up to $500,000 per client for securities (including up to $100,000 for cash). Merrill Lynch has obtained coverage in excess of the SIPC limits. SIPC and the excess-SIPC protection do not cover assets that are not securities or assets that are not held at Merrill Lynch. Cash on deposit at depository institutions (through programs such as Merrill Lynch Banking Advantage℠ program, Retirement Asset Savings Program℠ and ISA℠ program) or certificates of deposit purchased through Merrill Lynch are held at the depository institution, not at Merrill Lynch, and are protected by the Federal Deposit Insurance Corporation (FDIC) rather than by SIPC or excess-SIPC bond. Deposits held in different categories, such as individual, joint, trust, or retirement are separately insured by the FDIC up to $100,000 per depositor in each bank. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Advisor.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RAST℠ and MLBA℠ programs, this fee is up to .50% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Advisor promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Advisor in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.), through which the WCMA Line of Credit is made available. Includes information on your Line of Cred Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

H	Interest reported to IRS by Merrill Lynch as required by law.
*	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
**	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
.	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

CODE # 8080F (R12-99)

3778

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MERRILL LYNCH CMA® ACCOUNT

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Total Account Value As Of 09/28/2001 $49,469.46

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	08/31/01 Value	%	09/28/01 Value	%
Cash/Money Accounts	160	1	161	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	26,324	99	49,308	100
Options				
Other				
*-Less than 1 %				
Long Market Value	26,484		49,469	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	26,485		49,469	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.45	11.33
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	21.82	312.15
Income Not Reported		
Total	22.27	323.48

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 161

NEWS

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	8847.21	9949.75	10787.99
Three-Month Treasury Bills	2.36%	3.35%	5.88%
Long-Term Treasury Bonds	5.42%	5.38%	5.45%

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Page Statement Period Account No.

3779

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MERRILL LYNCH CMA® ACCOUNT

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Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	160.98	
Net Credits & Debits	.44	592.87CR
Closing Balance Cash & Money Accounts	161.42	

Credits	This Statement	Year-to-Date
Sales		27,458.46
Income	22.27	323.48
Funds Received		
Other	25,000.00	25,000.00
Total Credits	25,022.27	52,781.94

Debits	This Statement	Year-to-Date
Purchases	25,000.01	52,789.99
Withdrawals		
Other	21.82	584.82
Total Debits	25,021.83	53,374.81

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
	CASH			1		1				
160	CMA MONEY FUND		1.00	160	1.00	160			5	3.61

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3780

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Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Total Cash and Money Accounts			161		161			5	3.64

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
824	AMERICAN AMCAP FUND CL A	$12,529	($622)	12,694	14.45	11,906	(789)	173	1.45
	(.2760 FRACTIONAL SHARE)			N/A	14.45	3	N/A		1.45
	INITIAL PURCHASE: 05/23/01								
195	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($1,400)	6,693	24.65	4,806	(1,885)	78	1.62
	(.0800 FRACTIONAL SHARE)			N/A	24.65	1	N/A		1.62
	INITIAL PURCHASE: 08/24/00								
478	AMERICAN GROWTH FD OF AMERICA CL A	$11,206	($1,536)	11,225	20.23	9,669	(1,557)	69	.71
	(.0900 FRACTIONAL SHARE)			N/A	20.23	1	N/A		.71
	INITIAL PURCHASE: 02/20/01								
54	BERGER SMALL CAP VAL INVESTOR CL	$1,564	($241)	1,564	24.50	1,323	(241)	17	1.28
	(.5200 FRACTIONAL SHARE)			N/A	24.50	12	N/A		1.28
	INITIAL PURCHASE: 05/23/01								
294	MFS VALUE FD CL A	$6,147	($876)	6,147	17.93	5,271	(876)	45	.86
	(.0060 FRACTIONAL SHARE)			N/A	17.93		N/A		.86
	INITIAL PURCHASE: 05/23/01								

3781

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MERRILL LYNCH CMA® ACCOUNT

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Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
82	NATIONS INTERNATIONAL VALUE FUND INV A	$1,494	($283)	1,494	14.76	1,210	(283)		
	(.3270 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	14.76	4	N/A		
905	VAN KAMPEN COMSTOCK FUND CL A	$13,482	$355	13,497	15.29	13,837	339	195	1.41
	(.8830 FRACTIONAL SHARE) INITIAL PURCHASE: 09/17/01			N/A	15.29	13	N/A		1.41
220	WASATCH MICRO CAP FD	$1,139	$103	1,139	5.65	1,243	103		
	(.0770 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	5.65		N/A		
	Total Equity Funds		($4,500)	54,457		49,308	(5,189)	578	1.17
	Total Funds		($4,500)	54,457		49,308	(5,189)	578	1.17

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	54,618*	49,469	(5,189)*	584	1.18

* - Excludes N/A Items

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3782

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
09/18	Purchase	138	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .122 PROSPECTUS ENCLOSED PRICE 14.480000	14.480	2,000.01	
09/18	Purchase	193	VAN KAMPEN COMSTOCK FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .299 PROSPECTUS ENCLOSED PRICE 15.520000	15.520	3,000.00	
09/21	Purchase	268	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .240 PROSPECTUS ENCLOSED PRICE 13.980000	13.980	3,750.00	
09/21	Purchase	506	VAN KAMPEN COMSTOCK FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .415 PROSPECTUS ENCLOSED PRICE 14.810000	14.810	7,500.01	
09/21	Journal Entry	1	VAN KAMPEN COMSTOCK FUND CL A FULL SHARE ACCUM SHARE VALUE $14.81			
09/21	Purchase	192	AMERICAN GROWTH FD OF AMERICA CL A PER MFA SELECTS AGRMNT.	19.460	3,750.00	

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Page Statement Period Account No.

3783

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MERRILL LYNCH CMA® ACCOUNT

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
09/21	Journal Entry	1	FRAC SHR QUANTITY .703 PROSPECTUS ENCLOSED PRICE 19.460000 AMERICAN GROWTH FD OF AMERICA CL A FULL SHARE ACCUM SHARE VALUE $19.46			
09/24	Purchase	144	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT.	13.820	2,000.00	
09/24	Journal Entry	1	FRAC SHR QUANTITY .718 PROSPECTUS ENCLOSED PRICE 13.820000 AMERICAN AMCAP FUND CL A FULL SHARE ACCUM SHARE VALUE $13.82			
09/24	Purchase	205	VAN KAMPEN COMSTOCK FUND CL A PER MFA SELECTS AGRMNT.	14.600	2,999.99	
09/27	Journal Entry	1	FRAC SHR QUANTITY .479 PROSPECTUS ENCLOSED PRICE 14.600000 MFS VALUE FD CL A FULL SHARE ACCUM			
			Net Total		25,000.01	

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3784

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
09/20 *	Dividend		VAN KAMPEN COMSTOCK FUND CL A			10.44
09/27 *	Dividend		MFS VALUE FD CL A			11.38
09/28	Cash Dividend		CMA MONEY FUND FROM 08-31 THRU 09-27			.45
			Net Total			22.27
			Other Activity			
09/17	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749 BATCH # = 00030204258			5,000.00
09/20	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749 BATCH # = 00030219189			5,000.00
09/20	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749 BATCH # = 00030219199			10,000.00
09/20	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		10.44	
09/20	Divd Reinv		VAN KAMPEN COMSTOCK FUND CL A REINV AMOUNT $10.44 REINV PRICE $15.14000 QUANTITY BOT .6900 AS OF 09/19			
09/21	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749			5,000.00

+ PLEASE SEE REVERSE SIDE

0014987 Page Statement Period Account No.

3785

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Other Activity			
			BATCH # = 00030376999			
09/27	Reinvestment		MFS VALUE FD CL A		11.38	
09/27	Divd Reinv		MFS VALUE FD CL A			
			REINV AMOUNT $11.38			
			REINV PRICE $17.26000			
			QUANTITY BOT .6590			
			AS OF 09/26			
			Net Total			24,978.18

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

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3786

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
08/31	Opening Balance					.98CR	160
09/17	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749 BATCH # = 00030204258		5,000.00CR	5,000.98CR	160
09/18	Purchase	138	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .122 PROSPECTUS ENCLOSED PRICE 14.480000	14.480	2,000.01		
09/18	Purchase	193	VAN KAMPEN COMSTOCK FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .299 PROSPECTUS ENCLOSED PRICE 15.520000	15.520	3,000.00	.97CR	160
09/20	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749 BATCH # = 00030219189		5,000.00CR		
09/20	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749 BATCH # = 00030219199		10,000.00CR		
09/20 *	Dividend		VAN KAMPEN COMSTOCK FUND CL A		10.44CR		
09/20	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		10.44		
09/20	Divd Reinv		VAN KAMPEN COMSTOCK FUND CL A REINV AMOUNT $10.44 REINV PRICE $15.14000 QUANTITY BOT .6900 AS OF 09/19			15,000.97CR	160
09/21	Journal Entry		TR FROM 74966T11 N/O MICHAEL G OXLEY AND VS 74966T11 UNIT 749		5,000.00CR		

+ PLEASE SEE REVERSE SIDE

Page Statement Period Account No.

3787

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
			BATCH # = 00030376999				
09/21	Purchase	268	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .240 PROSPECTUS ENCLOSED PRICE 13.980000	13.980	3,750.00		
09/21	Purchase	506	VAN KAMPEN COMSTOCK FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .415 PROSPECTUS ENCLOSED PRICE 14.810000	14.810	7,500.01		
09/21	Journal Entry	1	VAN KAMPEN COMSTOCK FUND CL A FULL SHARE ACCUM SHARE VALUE $14.81				
09/21	Purchase	192	AMERICAN GROWTH FD OF AMERICA CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .703 PROSPECTUS ENCLOSED PRICE 19.460000	19.460	3,750.00		
09/21	Journal Entry	1	AMERICAN GROWTH FD OF AMERICA CL A FULL SHARE ACCUM SHARE VALUE $19.46			5,000.96CR	160
09/24	Purchase	144	AMERICAN AMCAP FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .718 PROSPECTUS ENCLOSED PRICE 13.820000	13.820	2,000.00		
09/24	Journal Entry	1	AMERICAN AMCAP FUND CL A FULL SHARE ACCUM SHARE VALUE $13.82				
09/24	Purchase	205	VAN KAMPEN COMSTOCK FUND CL A PER MFA SELECTS AGRMNT. FRAC SHR QUANTITY .479	14.600	2,999.99		

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3788

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
			PROSPECTUS ENCLOSED			.97CR	160
			PRICE 14.600000		11.38CR		
09/27 *	Dividend		MFS VALUE FD CL A		11.38		
09/27	Reinvestment		MFS VALUE FD CL A				
09/27	Divd Reinv		MFS VALUE FD CL A				
			REINV AMOUNT $11.38				
			REINV PRICE $17.26000				
			QUANTITY BOT .6590				
			AS OF 09/26				
			MFS VALUE FD CL A			.97CR	160
09/27	Journal Entry		FULL SHARE ACCUM		.45CR		
			CMA MONEY FUND				
09/28	Cash Dividend		FROM 08-31 THRU 09-27		1.42CR	1.42CR	160
09/28	Closing Balance						

Customer Service

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Page Statement Period Account No.

3789

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 09/28/2001 $30,058.36

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	08/31/01 Value	%	09/28/01 Value	%
Cash/Money Accounts	54,948	100	30,058	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	54,948		30,058	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	54,948		30,058	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	110.33	658.42
Reportable Dividends		
Income Not Reported		
Total	110.33	658.42

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 30,058

NEWS

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	8847.21	9949.75	10787.99
Three-Month Treasury Bills	2.36%	3.35%	5.88%
Long-Term Treasury Bonds	5.42%	5.38%	5.45%

+ PLEASE SEE REVERSE SIDE

Page Statement Period Account No.

3790

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	54,948.03	
Net Credits & Debits	24,889.67DR	28,340.00
Closing Balance Cash & Money Accounts	30,058.36	

Credits	This Statement	Year-to-Date
Sales Income	110.33	658.42
Funds Received		
Other		54,523.69
Total Credits	110.33	55,182.11

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
CMA Checks		1,742.11
Other	25,000.00	25,100.00
Total Debits	25,000.00	26,842.11

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	54,947	47,447	3.01	110.33	30,058
Total ML Banking Advantage	54,947			110.33	30,058

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
30,058	ML BANKING ADVANTAGE		1.00	30,058	1.00	30,058			904	3.01
	Total Cash and Money Accounts			30,058		30,058			904	3.01

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3792

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			30,058		30,058			904	3.01

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Dividends and Interest			
09/28	II Bank Interest		BANK DEPOSIT INTEREST			.33
	Income Total		ML BANKING ADVANTAGE			110.00
			Net Total			110.33
			Other Activity			
09/17	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030204258		5,000.00	
09/20	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030219189		5,000.00	
09/20	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749		10,000.00	

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3793

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Other Activity			
09/21	Journal Entry		BATCH # = 00030219199 TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030376999		5,000.00	
			Net Total		25,000.00	

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
08/31	Opening Balance					1.03CR	54,947
09/04	Deposit To		ML BANKING ADVANTAGE		1.00	.03CR	54,948
09/17	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030204258		5,000.00		
09/17	Withdrawal		ML BANKING ADVANTAGE		5,000.00CR	.03CR	49,948
09/20	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030219189		5,000.00		
09/20	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030219199		10,000.00		
09/20	Withdrawal		ML BANKING ADVANTAGE		15,000.00CR	.03CR	34,948
09/21	Journal Entry		TR TO 74919458 N/O MICHAEL G OXLEY AND VS 74919458 UNIT 749 BATCH # = 00030376999		5,000.00		
09/21	Withdrawal		ML BANKING ADVANTAGE		5,000.00CR	.03CR	29,948

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3794

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
09/28	H	Bank Interest		BANK DEPOSIT INTEREST		110.33CR		
09/28		Closing Balance				.36CR	.36CR	30,058

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6014647 Page Statement Period Account No.

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MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

Total Account Value As Of 09/28/2001 $56,586.86

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	08/31/01 Value	%	09/28/01 Value	%
Cash/Money Accounts	4	*	4	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	62,975	100	56,581	100
Options				
Other				
*-Less than 1 %				
Long Market Value	62,980		56,586	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	62,981		56,586	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		1.69
Interest Income		
Dividend Income	29.44	777.83
Total	29.44	779.52

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	8847.21	9949.75	10787.99
Three-Month Treasury Bills	2.36%	3.35%	5.88%
Long-Term Treasury Bonds	5.42%	5.38%	5.45%

PLEASE SEE REVERSE SIDE

0014999 Page Statement Period Account No.

3797

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL C OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance			Sales		81,471.38	Purchases		80,839.98
Cash & Money Accounts	5.10		Income	29.44	779.52	Withdrawals		
			Funds Received			Other	29.44	1,430.75
			Other		4.00			
Net Credits & Debits		15.83DR						
Closing Balance Cash & Money Accounts	5.10		Total Credits	29.44	82,254.90	Total Debits	29.44	82,270.73

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(265.18)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
4	RETIREMENT RESERVES CL I		1.00	4	1.00	4				3.29

+ PLEASE SEE REVERSE SIDE

80-883 371 175

3798

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
626	AMERICAN ANCAP FUND CL A	$10,986	($1,941)	11,340	14.45	9,045	N/A	131	1.45
	(.0740 FRACTIONAL SHARE)			N/A	14.45	1	N/A		1.45
	INITIAL PURCHASE: 05/23/01								
518	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($2,704)	15,828	24.65	12,768	N/A	207	1.62
	(.1650 FRACTIONAL SHARE)			N/A	24.65	4	N/A		1.62
	INITIAL PURCHASE: 02/20/01								
670	AMERICAN GROWTH FD OF AMERICA CL A	$17,560	($4,006)	17,560	20.23	13,554	N/A	97	.71
	(.2490 FRACTIONAL SHARE)			N/A	20.23	5	N/A		.71
	INITIAL PURCHASE: 02/20/01								
69	BERGER SMALL CAP VAL INVESTOR CL	$1,999	($309)	1,999	24.50	1,690	N/A	21	1.28
	(.0130 FRACTIONAL SHARE)			N/A	24.50		N/A		1.28
	INITIAL PURCHASE: 05/23/01								
760	MFS VALUE FD CL A	$15,477	($1,850)	15,570	17.93	13,626	N/A	117	.86
	(.4740 FRACTIONAL SHARE)			N/A	17.93	8	N/A		.86
	INITIAL PURCHASE: 02/20/01								
164	NATIONS INTERNATIONAL VALUE FUND INV A	$2,988	($567)	2,988	14.76	2,420	N/A		
	(.6540 FRACTIONAL SHARE)			N/A	14.76	9	N/A		
	INITIAL PURCHASE: 05/23/01								
610	WASATCH MICRO CAP FD	$3,159	$286	3,159	5.65	3,446	N/A		
	(.0390 FRACTIONAL SHARE)			N/A	5.65		N/A		
	INITIAL PURCHASE: 02/20/01								

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3799

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MERRILL LYNCH IRRA® ACCOUNT

MFA Selects™

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	Total Equity Funds		($11,091)	68,447		56,581		575	1.02
	Total Funds		($11,091)	68,447		56,581		575	1.02
	Total of Long Portfolio			68,452*		56,586	*	575	1.02

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis.
Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
09/27	Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $29.44 REINV PRICE $17.26000 QUANTITY BOT 1.7060 AS OF 09/26			
09/27	Journal Entry	1	MFS VALUE FD CL A FULL SHARE ACCUM			

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3800

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MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Net Total			
				Dividends and Interest			
09/27	*	Dividend		MFS VALUE FD CL A			29.44
				Net Total			29.44
				Other Activity			
09/27		Reinvestment		MFS VALUE FD CL A		29.44	
				Net Total		29.44	

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$4.95	$4.95	$.00	$1.69

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number: 7700700
Year-End Plan Value as of December 31, 2000 $72,765.44
Contributions after December 30, 2000 for 2000 $.00
Tax Identification Number 00-0000000
Date of Birth 02/11/44

PLEASE SEE REVERSE SIDE *** END OF STATEMENT ***

8016003 Page Statement Period Account No.

3801

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3802

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MERRILL LYNCH SEP ACCOUNT

FBO PATRICIA OXLEY

MFA Selects

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	6.79	
Net Credits & Debits		31,593.91DR
Closing Balance Cash & Money Accounts	6.79	

Credits	This Statement	Year-to-Date
Sales		34,059.46
Income	23.47	993.90
Funds Received		4,007.00
Other		17.98
Total Credits	23.47	39,078.34

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Other	23.47	1,238.26
Total Debits	23.47	70,672.25

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(146.56)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
6	RETIREMENT RESERVES CL I		1.00	6	1.00	6				3.29

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3803

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

Total Account Value As Of 09/28/2001 **$48,933.85**

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	08/31/01 Value	%	09/28/01 Value	%
Cash/Money Accounts	6	*	6	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	54,511	100	48,927	100
Options				
Other				
*-Less than 1 %				
Long Market Value	54,517		48,933	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	54,517		48,933	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		288.80
Interest Income		
Dividend Income	23.47	705.10
Total	23.47	993.90

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	8847.21	9949.75	10787.99
Three-Month Treasury Bills	2.36%	3.35%	5.88%
Long-Term Treasury Bonds	5.42%	5.38%	5.45%

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3804

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
	Total Equity Funds		($9,577)	59,192		48,927		504	1.03
	Total Funds		($9,577)	59,192		48,927		504	1.03
	Total of Long Portfolio			59,199*		48,933	*	504	1.03

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
09/27	Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $23.47 REINV PRICE $17.26000 QUANTITY BOT 1.3600 AS OF 09/26			
09/27	Journal Entry	1	MFS VALUE FD CL A FULL SHARE ACCUM			

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3805

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
654	AMERICAN AMCAP FUND CL A	$11,495	($2,044)	11,848	14.45	9,450	N/A	137	1.45
	(.5320 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	14.45	7	N/A		1.45
413	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	($2,143)	12,618	24.65	10,180	N/A	165	1.62
	(.1280 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	24.65	3	N/A		1.62
541	AMERICAN GROWTH FD OF AMERICA CL A	$14,179	($3,235)	14,179	20.23	10,944	N/A	78	.71
	(.2890 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	20.23	5	N/A		.71
93	BERGER SMALL CAP VAL INVESTOR CL	$2,695	($416)	2,695	24.50	2,278	N/A	29	1.28
	(.1680 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	24.50	4	N/A		1.28
606	MFS VALUE FD CL A	$12,341	($1,475)	12,414	17.93	10,865	N/A	93	.86
	(.3180 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	17.93	5	N/A		.86
148	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($512)	2,696	14.76	2,184	N/A		
	(.1890 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	14.76	2	N/A		
529	WASATCH MICRO CAP FD	$2,740	$248	2,740	5.65	2,988	N/A		
	(.9230 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	5.65	5	N/A		

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0015007 Page Statement Period Account No.

3806

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Retirement Account Plan Summary

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

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Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total			
			Dividends and Interest			
09/27 *	Dividend		MFS VALUE FD CL A			23.47
			Net Total			23.47
			Other Activity			
09/27	Reinvestment		MFS VALUE FD CL A		23.47	
			Net Total		23.47	

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SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$6.45	$6.45	$.00	$288.80

Retirement Account Plan Summary

Account Type: SEP PLAN Plan Number: 18003830

Year-End Plan Value as of December 31, 2000	$56,988.63	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$4,007.00		

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3808

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Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Asset Card Account Selects

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider (to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
* We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
The Securities Investor Protection Corporation (SIPC) protects securities and cash in Merrill Lynch accounts for up to $500,000 per client for securities (including up to $100,000 for cash). Merrill Lynch has obtained coverage in excess of the SIPC limits. SIPC and the excess-SIPC protection do not cover assets that are not securities or assets that are not held at Merrill Lynch. Cash on deposit at depository institutions (through programs such as Merrill Lynch Banking Advantage℠ program, Retirement Asset Savings Program℠ and ISA® program) or certificates of deposit purchased through Merrill Lynch are held at the depository institution, not at Merrill Lynch, and are protected by the Federal Deposit Insurance Corporation (FDIC) rather than by SIPC or excess-SIPC bond. Deposits held in different categories, such as individual, joint, trust, or retirement are separately insured by the FDIC up to $100,000 per depositor in each bank. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Advisor.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP℠ and MLBA℠ programs, this fee is up to .50% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Advisor promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Advisor in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

‡	Interest reported to IRS by Merrill Lynch as required by law.
■	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
*	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
.	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/ or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name
N/O	Held registered in your name.
NCCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interests in assets not registered in the name of nor held by us or our nominee and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RG	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

3810

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

Total Account Value As Of 10/26/2001 $52,638.73

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	09/28/01 Value	%	10/26/01 Value	%
Cash/Money Accounts	161	*	53	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	49,308	100	52,585	100
Options				
Other				
*-Less than 1 %				
Long Market Value	49,469		52,638	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	49,469		52,638	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.09	11.42
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	117.73	429.88
Income Not Reported		
Total	117.82	441.30

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 53

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9545.17	8847.21	10787.99
Three-Month Treasury Bills	2.13%	2.36%	5.88%
Long-Term Treasury Bonds	5.26%	5.42%	5.45%

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3811

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	161.42	
Net Credits & Debits	107.860R	700.73DR
Closing Balance Cash & Money Accounts	53.56	

Credits	This Statement	Year-to-Date
Sales		27,458.46
Income	117.82	441.30
Funds Received		
Other		25,000.00
Total Credits	117.82	52,899.76

Debits	This Statement	Year-to-Date
Purchases		52,789.99
Withdrawals		
Other	225.68	810.50
Total Debits	225.68	53,600.49

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
53	CMA MONEY FUND		1.00	53	1.00	53			1	2.89

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
824	AMERICAN AMCAP FUND CL A (.2760 FRACTIONAL SHARE)	$12,529	$45	12,694	15.26	12,574	(121)	173	1.37
	INITIAL PURCHASE: 05/23/01			N/A	15.26	4	N/A		1.37
195	AMERICAN FUNDAMENTAL INVESTORS INC CL A (.0800 FRACTIONAL SHARE)	$6,207	($1,085)	6,693	26.27	5,122	(1,570)	78	1.52
	INITIAL PURCHASE: 08/24/00			N/A	26.27	2	N/A		1.52
478	AMERICAN GROWTH FD OF AMERICA CL A (.0900 FRACTIONAL SHARE)	$11,206	($580)	11,225	22.23	10,625	(601)	69	.65
	INITIAL PURCHASE: 02/20/01			N/A	22.23	2	N/A		.65
54	BERGER SMALL CAP VAL INVESTOR CL (.5200 FRACTIONAL SHARE)	$1,564	($103)	1,564	27.06	1,461	(103)	17	1.16
	INITIAL PURCHASE: 05/23/01			N/A	27.06	14	N/A		1.16
294	MFS VALUE FD CL A (.0060 FRACTIONAL SHARE)	$6,147	($682)	6,147	18.59	5,465	(682)	45	.83
	INITIAL PURCHASE: 05/23/01			N/A	18.59		N/A		.83
82	NATIONS INTERNATIONAL VALUE FUND INV A (.3270 FRACTIONAL SHARE)	$1,494	($214)	1,494	15.60	1,279	(214)		
	INITIAL PURCHASE: 05/23/01			N/A	15.60	5	N/A		
905	VAN KAMPEN COMSTOCK FUND CL A (.8830 FRACTIONAL SHARE)	$13,482	$1,142	13,497	16.16	14,624	1,126	195	1.33
	INITIAL PURCHASE: 09/17/01			N/A	16.16	14	N/A		1.33

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3813

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MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
242	WASATCH MICRO CAP FD (.1240 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$1,139	$249	1,257 N/A	5.74 5.74	1,389	131 N/A		
	Total Equity Funds		($1,228)	54,574		52,585	(2,034)	578	1.10
	Total Funds		($1,228)	54,574		52,585	(2,034)	578	1.10
	Total of Long Portfolio			54,627*		52,638	(2,034)*	580	1.10

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A"
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A items

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
10/08	Divd Reinv	1	WASATCH MICRO CAP FD REINV AMOUNT $5.71 REINV PRICE $5.34000 QUANTITY BOT 1.0690 AS OF 10/05			
10/08	Divd Reinv	20	WASATCH MICRO CAP FD REINV AMOUNT $112.02 REINV PRICE $5.34000 QUANTITY BOT 20.9780 AS OF 10/05			
10/08	Journal Entry	1	WASATCH MICRO CAP FD FULL SHARE ACCUM			
			Net Total			
			Dividends and Interest			
10/08 *	Lg Tm Cap Gain		WASATCH MICRO CAP FD			112.02
10/08 *	Sh Tm Cap Gain		WASATCH MICRO CAP FD			5.71
10/26	Cash Dividend		CMA MONEY FUND FROM 09-28 THRU 10-25			.09
			Net Total			117.82
			Other Activity			
10/02	Journal Entry		MFA SELECTS QTR ADV FEE		107.95	
10/08	Reinvestment		WASATCH MICRO CAP FD		112.02	
10/08	Reinvestment		WASATCH MICRO CAP FD		5.71	

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3815

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total		225.68	

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
09/28		Opening Balance					1.42CR	160
10/01		Purchase	1	CMA MONEY FUND		1.00	.42CR	161
10/02		Journal Entry		MFA SELECTS QTR ADV FEE		107.95		
10/02		Sale	-108	CMA MONEY FUND		108.00CR	.47CR	53
10/08	*	Lg Tm Cap Gain		WASATCH MICRO CAP FD		112.02CR		
10/08		Reinvestment		WASATCH MICRO CAP FD		112.02		
10/08	*	Sh Tm Cap Gain		WASATCH MICRO CAP FD		5.71CR		

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects™

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
10/08	Reinvestment		WASATCH MICRO CAP FD		5.71		
10/08	Divd Reinv	1	WASATCH MICRO CAP FD REINV AMOUNT $5.71 REINV PRICE $5.34000 QUANTITY BOT 1.0690 AS OF 10/05				
10/08	Divd Reinv	20	WASATCH MICRO CAP FD REINV AMOUNT $112.02 REINV PRICE $5.34000 QUANTITY BOT 20.9780 AS OF 10/05				
10/08	Journal Entry	1	WASATCH MICRO CAP FD FULL SHARE ACCUM			.47CR	53
10/26	Cash Dividend		CMA MONEY FUND FROM 09-28 THRU 10-25		.09CR		
10/26	**Closing Balance**				.56CR	.56CR	53

Customer Service

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3817

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 10/26/2001 $30,117.84

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7829 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	09/28/01 Value	%	10/26/01 Value	%
Cash/Money Accounts	30,058	100	30,117	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	30,058		30,117	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	30,058		30,117	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	59.48	717.90
Reportable Dividends		
Income Not Reported		
Total	59.48	717.90

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 30,117

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9545.17	8847.21	10787.99
Three-Month Treasury Bills	2.13%	2.36%	5.88%
Long-Term Treasury Bonds	5.26%	5.42%	5.45%

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3818

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	30,058.36	
Net Credits & Debits	59.48	28,399.48
Closing Balance Cash & Money Accounts	30,117.84	

Credits	This Statement	Year-to-Date
Sales Income	59.48	717.90
Funds Received		
Other		54,523.69
Total Credits	59.48	55,241.59

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
CMA Checks		1,742.11
Other		25,100.00
Total Debits		26,842.11

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	30,058	30,058	2.58	59.48	30,117
Total ML Banking Advantage	30,058			59.48	30,117

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
30,117	ML BANKING ADVANTAGE		1.00	30,117	1.00	30,117			777	2.58
	Total Cash and Money Accounts			30,117		30,117			777	2.58

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Total of Long Portfolio			30,117		30,117			777	2.58

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
				Dividends and Interest			
10/26	H	Bank Interest		BANK DEPOSIT INTEREST			.48
		Income Total		ML BANKING ADVANTAGE			59.00
				Net Total			59.48

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
09/28		Opening Balance					.36CR	30,058
10/26	H	Bank Interest		BANK DEPOSIT INTEREST		59.48CR		
10/26		Closing Balance				.84CR	.84CR	30,117

Customer Service

For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 91-749-66811.

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3821

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

Total Account Value As Of 10/26/2001 $60,289.66

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	09/28/01 Value	%	10/26/01 Value	%
Cash/Money Accounts	4	*	15	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	56,581	100	60,272	100
Options				
Other				
*-Less than 1 %				
Long Market Value	56,586		60,288	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	56,586		60,289	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		1.69
Interest Income		
Dividend Income	326.34	1,104.17
Total	326.34	1,105.86

Items for Attention

Security	Message	Date
	No Items For Attention	

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9545.17	8847.21	10787.99
Three-Month Treasury Bills	2.13%	2.36%	5.88%
Long-Term Treasury Bonds	5.26%	5.42%	5.45%

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3822

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Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date	Credits	This Statement	Year-to-Date	Debits	This Statement	Year-to-Date
Opening Balance			Sales	204.98	81,676.36	Purchases		80,839.98
Cash & Money Accounts	5.10		Income	326.34	1,105.86	Withdrawals Other	519.51	1,950.26
			Funds Received					
			Other		4.00			
Net Credits & Debits	11.81	4.02DR						
Closing Balance Cash & Money Accounts	16.91		Total Credits	531.32	82,786.22	Total Debits	519.51	82,790.24

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(48.34)	(313.52)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
9	AMERN GROW FD OF AMCA A	02/20/01	10/09/01	187.55	235.89	(48.34)	S

+ PLEASE SEE REVERSE SIDE

3824

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
15	RETIREMENT RESERVES CL I		1.00	15	1.00	15				2.74

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
626	AMERICAN AMCAP FUND CL A	$10,986	($1,434)	11,340	15.26	9,552	N/A	131	1.37
	(.0740 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	15.26	1	N/A		1.37
518	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($1,865)	15,828	26.27	13,607	N/A	207	1.52
	(.1650 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	26.27	4	N/A		1.52
660	AMERICAN GROWTH FD OF AMERICA CL A	$17,298	($2,626)	17,298	22.23	14,671	N/A	95	.65
	(.4130 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	22.23	9	N/A		.65
69	BERGER SMALL CAP VAL INVESTOR CL	$1,999	($132)	1,999	27.06	1,867	N/A	21	1.16
	(.0130 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	27.06		N/A		1.16

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3825

FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
760	MFS VALUE FD CL A (.4740 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$15,477	($1,349)	15,570 N/A	18.59 18.59	14,128 8	N/A N/A	117	.83 .83
164	NATIONS INTERNATIONAL VALUE FUND INV A (.6540 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$2,988	($429)	2,988 N/A	15.60 15.60	2,558 10	N/A N/A		
671	WASATCH MICRO CAP FD (.1510 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$3,159	$691	3,485 N/A	5.74 5.74	3,851	N/A N/A		
	Total Equity Funds		($7,144)	68,510		60,272		574	.95
	Total Funds		($7,144)	68,510		60,272		574	.95

TOTAL CLIENT INVESTMENT. Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts *denoted by N/A
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	68,526*	60,288	*	574	.95

* - Excludes N/A items

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3826

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
10/08	Divd Reinv	2	WASATCH MICRO CAP FD REINV AMOUNT $15.83 REINV PRICE $5.34000 QUANTITY BOT 2.9640 AS OF 10/05			
10/08	Journal Entry	1	WASATCH MICRO CAP FD FULL SHARE ACCUM			
10/08	Divd Reinv	58	WASATCH MICRO CAP FD REINV AMOUNT $310.51 REINV PRICE $5.34000 QUANTITY BOT 58.1480 AS OF 10/05			
10/10	Sale	-9	AMERICAN GROWTH FD OF AMERICA CL A FRAC SHR QUANTITY .836 PER MFA SELECTS AGRMNT PRICE 20.840000	20.840		204.98
10/10	Journal Entry	-1	AMERICAN GROWTH FD OF AMERICA CL A FULL SHARE ACCUM SHARE VALUE $20.84			
			Net Total			204.98
			Dividends and Interest			
10/08 *	Lg Tm Cap Gain		WASATCH MICRO CAP FD			310.51
10/08 *	Sh Tm Cap Gain		WASATCH MICRO CAP FD			15.83
			Net Total			326.34

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Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

MFA Selects®

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Funds Received, Withdrawals, and Charges			
10/11	Fund Delivery	-205	ML RETIREMENT RSRVS CL I			
10/11	Subscription	205	ML RETIREMENT RSRVS CL I		205.00	
10/12	Received	194	ML RETIREMENT RSRVS CL I			
10/12	Redeemed	-194	ML RETIREMENT RSRVS CL I			194.00
			Net Total		11.00	
			Other Activity			
10/08	Reinvestment		WASATCH MICRO CAP FD		310.51	
10/08	Reinvestment		WASATCH MICRO CAP FD		15.83	
10/11	Journal Entry		MFA SELECTS QTR ADV FEE		193.17	
			Net Total		519.51	

Customer Service

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$4.95	$15.95	$.00	$1.69

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number: 7700700
Year-End Plan Value as of December 31, 2000 $72,765.44 Tax Identification Number 00-0000000

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3828

FBO MICHAEL G OXLEY

Retirement Account Plan Summary

Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

3829

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

Total Account Value As Of 10/26/2001 $52,152.65

MLPF& S CUST FPO
PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL CONSULTANT:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	09/28/01 Value	%	10/26/01 Value	%
Cash/Money Accounts	6	*	13	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	48,927	100	52,138	100
Options				
Other				
*-Less than 1 %				
Long Market Value	48,933		52,151	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	48,933		52,152	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		288.80
Interest Income		
Dividend Income	283.48	988.58
Total	283.48	1,277.38

Items for Attention

Security	Message	Date
	No Items For Attention	

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9545.17	8847.21	10787.99
Three-Month Treasury Bills	2.13%	2.36%	5.88%
Long-Term Treasury Bonds	5.26%	5.42%	5.45%

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3830

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3831

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	6.79	
Net Credits & Debits	7.63	31,586.28DR
Closing Balance Cash & Money Accounts	14.42	

Credits	This Statement	Year-to-Date
Sales	174.76	34,234.22
Income	283.48	1,277.38
Funds Received		4,007.00
Other		17.98
Total Credits	458.24	39,536.58

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Other	450.61	1,688.87
Total Debits	450.61	71,122.86

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	(42.96)	(189.52)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data.

Realized Monthly Capital Gains and Losses

Quantity	Security Description	Date of Acquisition	Date of Liquidation	Sales Price	Cost Basis	Gain or (Loss)	
8	AMERN GROW FD OF AMCA A	02/20/01	10/09/01	166.71	209.67	(42.96)	S'

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3832

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
	Cash and Money Accounts									
13	RETIREMENT RESERVES CL I		1.00	13	1.00	13				2.74

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
Equity Funds									
654	AMERICAN AMCAP FUND CL A	$11,495	($1,515)	11,848	15.26	9,980	N/A	137	1.37
	(.5320 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	15.26	8	N/A		1.37
413	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	($1,474)	12,618	26.27	10,849	N/A	165	1.52
	(.1280 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	26.27	3	N/A		1.52
532	AMERICAN GROWTH FD OF AMERICA CL A	$13,943	($2,117)	13,943	22.23	11,826	N/A	77	.65
	(.9030 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	22.23	20	N/A		.65
93	BERGER SMALL CAP VAL INVESTOR CL	$2,695	($178)	2,695	27.06	2,516	N/A	29	1.16
	(.1680 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	27.06	4	N/A		1.16

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
	Mutual Funds and Defined Asset Funds								
606	MFS VALUE FD. CL A	$12,341	($1,075)	12,414	18.59	11,265	N/A	93	.83
	(.3160 FRACTIONAL SHARE)			N/A	18.59	5	N/A		.83
	INITIAL PURCHASE: 02/20/01								
148	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($387)	2,696	15.60	2,308	N/A		
	(.1890 FRACTIONAL SHARE)			N/A	15.60	2	N/A		
	INITIAL PURCHASE: 05/23/01								
383	WASATCH MICRO CAP FD	$2,740	$606	3,028	5.74	3,346	N/A		
	(.0090 FRACTIONAL SHARE)			N/A	5.74		N/A		
	INITIAL PURCHASE: 02/20/01								
	Total Equity Funds		($6,140)	59,245		52,138		503	.97
	Total Funds		($6,140)	59,245		52,138		503	.97

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts *denoted by N/A
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio	59,258*	52,151	*	503	.97

* - Excludes N/A items

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3834

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Security Transactions			
10/08	Divd Reinv	2	WASATCH MICRO CAP FD REINV AMOUNT $13.75 REINV PRICE $5.34000 QUANTITY BOT 2.5750 AS OF 10/05			
10/08	Journal Entry	1	WASATCH MICRO CAP FD FULL SHARE ACCUM			
10/08	Divd Reinv	50	WASATCH MICRO CAP FD REINV AMOUNT $269.73 REINV PRICE $5.34000 QUANTITY BOT 50.5110 AS OF 10/05			
10/08	Journal Entry	1	WASATCH MICRO CAP FD FULL SHARE ACCUM			
10/10	Sale	-8	AMERICAN GROWTH FD OF AMERICA CL A FRAC SHR QUANTITY .386 PER MFA SELECTS AGRMNT PRICE 20.840000	20.840		174.76
10/10	Journal Entry	-1	AMERICAN GROWTH FD OF AMERICA CL A FULL SHARE ACCUM SHARE VALUE $20.84			
			Net Total			174.76
			Dividends and Interest			
10/08 *	Lg Tm Cap Gain		WASATCH MICRO CAP FD			269.73
10/08 *	Sh Tm Cap Gain		WASATCH MICRO CAP FD			13.75

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Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
			Net Total			283.48
			Funds Received, Withdrawals, and Charges			
10/11	Fund Delivery	-175	ML RETIREMENT RSRVS CL I			
10/11	Subscription	175	ML RETIREMENT RSRVS CL I		175.00	
10/12	Received	168	ML RETIREMENT RSRVS CL I			
10/12	Redeemed	-168	ML RETIREMENT RSRVS CL I			168.00
			Net Total		7.00	
			Other Activity			
10/08	Reinvestment		WASATCH MICRO CAP FD		269.73	
10/08	Reinvestment		WASATCH MICRO CAP FD		13.75	
10/11	Journal Entry		MFA SELECTS QTR ADV FEE		167.13	
			Net Total		450.61	

Customer Service

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SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$6.45	$13.45	$.00	$288.80

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3836

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Retirement Account Plan Summary

Account Type:SEP PLAN	Plan Number:	18003830	
Year-End Plan Value as of December 31, 2000		$56,988.63	Tax Identification Number 00-0000000
Contributions after 12/30/00 for 2000		$.00	Date of Birth 05/23/42
Employer Contributions after 12/30/00 for 2000		$4,007.00	

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

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3837

FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
* We can pledge, replledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
* We can lend the securities.
* We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
The Securities Investor Protection Corporation (SIPC) protects securities and cash in Merrill Lynch accounts for up to $500,000 per client for securities (including up to $100,000 for cash). Merrill Lynch has obtained coverage in excess of the SIPC limits. SIPC and the excess-SIPC protection do not cover assets that are not securities or assets that are not held at Merrill Lynch. Cash on deposit at depository institutions (through programs such as Merrill Lynch Banking Advantage™ program, Retirement Asset Savings Program℠ and ISA® program) or certificates of deposit purchased through Merrill Lynch are held at the depository institution, not at Merrill Lynch, and are protected by the Federal Deposit Insurance Corporation (FDIC) rather than by SIPC or excess-SIPC bond. Deposits held in different categories, such as individual, joint, trust, or retirement are separately insured by the FDIC up to $100,000 per depositor in each bank. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Advisor.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP℠ and MLBA™ programs, this fee is up to .50% and is paid by our affiliated bank.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us of a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AIPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Advisor promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Advisor in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Credit Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

‡	Interest reported to IRS by Merrill Lynch as required by law.
*	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
◆	Dividends reported to the IRS by Merrill Lynch as required by law.
**	Merrill Lynch maintains a fundamental opinion on this company.
↳	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange. Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/ or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
N/O CUST	Non-negotiable Custodian Registration.
NPC	Interest in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner &Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are changeable from coupon to registered and vice versa without charge.
RO	Bonds registered for both principal and interest.

*** END OF STATEMENT ***

3838

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

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Total Account Value As Of 11/30/2001 $54,787.05

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	10/26/01 Value	%	11/30/01 Value	%
Cash/Money Accounts	53	*	53	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	52,585	100	54,733	100
Options				
Other				
*-Less than 1 %				
Long Market Value	52,638		54,786	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	52,638		54,787	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.06	11.48
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	24.95	454.83
Income Not Reported		
Total	25.01	466.31

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 53

NEWS

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9851.56	9075.14	10787.99
Three-Month Treasury Bills	1.77%	2.02%	5.88%
Long-Term Treasury Bonds	5.27%	4.88%	5.45%

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Page Statement Period Account No.

3889

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance		
Cash & Money Accounts	53.56	
Net Credits & Debits	.06	700.67DR
Closing Balance		
Cash & Money Accounts	53.62	

Credits	This Statement	Year-to-Date
Sales		27,458.46
Income	25.01	466.31
Funds Received		
Electronic Tfrs		
Other		25,000.00
Total Credits	25.01	52,924.77

Debits	This Statement	Year-to-Date
Purchases		52,789.99
Withdrawals		
Electronic Tfrs		
Other	24.95	835.45
Total Debits	24.95	53,625.44

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
53	CMA MONEY FUND		1.00	53	1.00	53			1	2.59

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3840

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MFA Selects™

MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
824	AMERICAN AMCAP FUND CL A	$12,529	$794	12,694	16.17	13,324	629	173	1.29
	(.2760 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.17	4	N/A		1.29
195	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($890)	6,693	27.27	5,317	(1,375)	78	1.46
	(.0800 FRACTIONAL SHARE) INITIAL PURCHASE: 08/24/00			N/A	27.27	2	N/A		1.46
478	AMERICAN GROWTH FD OF AMERICA CL A	$11,206	($6)	11,225	23.43	11,199	(27)	69	.61
	(.0900 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	23.43	2	N/A		.61
54	BERGER SMALL CAP VAL INVESTOR CL	$1,564	($26)	1,564	28.49	1,538	(26)	17	1.10
	(.5200 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.49	14	N/A		1.10
294	MFS VALUE FD CL A	$6,147	($540)	6,147	19.07	5,606	(540)	45	.81
	(.0060 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	19.07		N/A		.81
83	NATIONS INTERNATIONAL VALUE FUND INV A	$1,494	($172)	1,509	15.92	1,321	(188)		
	(.9340 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	15.92	14	N/A		
905	VAN KAMPEN COMSTOCK FUND CL A	$13,482	$1,386	13,497	16.43	14,869	1,370	195	1.31
	(.8830 FRACTIONAL SHARE) INITIAL PURCHASE: 09/17/01			N/A	16.43	14	N/A		1.31
242	WASATCH MICRO CAP FD	$1,139	$363	1,257	6.21	1,502	244		

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3841

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
	(.1240 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.21		N/A		
Total Equity Funds			$909	54,590		54,733	87	578	1.06
Total Funds			$909	54,590		54,733	87	578	1.06
Total of Long Portfolio				54,643*		54,786	87 *	580	1.06

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
11/19	Divd Reinv	1	NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $22.15 REINV PRICE $15.52000 QUANTITY BOT 1.4270 AS OF 11/14			
Net Total						

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3842

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MERRILL LYNCH CMA® ACCOUNT

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
11/19	Lg Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A			22.15
11/19	Sh Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A			2.80
11/30	Cash Dividend		CMA MONEY FUND FROM 10-26 THRU 11-29			.06
Net Total						25.01
Other Activity						
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		22.15	
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		2.80	
11/19	Divd Reinv		NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $2.80 REINV PRICE $15.52000 QUANTITY BOT .1800 AS OF 11/14			
Net Total					24.95	

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Page Statement Period Account No.

3843

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
10/26	Opening Balance						
11/19 *	Lg Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A		22.15CR	.56CR	53
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		22.15		
11/19 *	Sh Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A		2.80CR		
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		2.80		
11/19	Divd Reinv		NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $2.80 REINV PRICE $15.52000 QUANTITY BOT .1800 AS OF 11/14				
11/19	Divd Reinv	1	NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $22.15 REINV PRICE $15.52000 QUANTITY BOT 1.4270 AS OF 11/14				
11/30	Cash Dividend		CMA MONEY FUND		.06CR	.56CR	53

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3844

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
11/30	Closing Balance		FROM 10-26 THRU 11-29		.62CR	.62CR	53

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Statement Period 10/27/04 TO 11/30/04

Account No. 749-10458

3845

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	30,117.84	
Net Credits & Debits	3,125.88DR	25,273.60
Closing Balance Cash & Money Accounts	26,991.96	

Credits	This Statement	Year-to-Date
Sales		
Income	55.62	773.52
Funds Received		
Electronic Tfrs		
Other		54,523.69
Total Credits	55.62	55,297.21

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
Electronic Tfrs		
CMA Checks	3,181.50	4,923.61
Other		25,100.00
Total Debits	3,181.50	30,023.61

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	30,117	28,167	2.05	55.62	26,991
Total ML Banking Advantage	30,117			55.62	26,991

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
26,991	ML BANKING ADVANTAGE		1.00	26,991	1.00	26,991			553	2.05
Total Cash and Money Accounts				26,991		26,991			553	2.05
Total of Long Portfolio				26,991		26,991			553	2.05

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3847

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
11/30 II	Bank Interest		BANK DEPOSIT INTEREST			.62
	Income Total		ML BANKING ADVANTAGE			55.00
Net Total						55.62

Summary of Checking Activity

Date Cleared	Date Written	Check Number	Payee	Amount
11/02	10/31	103	GREG FOSTER	925.00
11/09	11/01	104	BARNES CABINET SHOP INC	1,836.50
11/21	11/23	105	SHINER ROOFING	420.00
Total Checking Activity				3,181.50

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
10/28	**Opening Balance**					.84CR	30,117
11/02	Check		GREG FOSTER		925.00		
11/02	Withdrawal		ML BANKING ADVANTAGE		925.00CR	.84CR	29,192
11/09	Check		BARNES CABINET SHOP INC		1,836.50		
11/09	Withdrawal		ML BANKING ADVANTAGE		1,836.00CR	.34CR	27,356
11/21	Check		SHINER ROOFING		420.00		
11/21	Withdrawal		ML BANKING ADVANTAGE		420.00CR	.34CR	26,936
11/30 II	Bank Interest		BANK DEPOSIT INTEREST		55.62CR		
11/30	**Closing Balance**				.96CR	.96CR	26,991

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Statement Period 10/27/01 TO 11/30/01

Account No. 749-65T11

3848

Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 11/30/2001 $26,991.96

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 859-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	10/26/01 Value	%	11/30/01 Value	%
Cash/Money Accounts	30,117	100	26,991	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	30,117		26,991	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	30,117		26,991	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	55.62	773.52
Reportable Dividends		
Income Not Reported		
Total	55.62	773.52

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 26,991

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9851.56	9075.14	10787.99
Three-Month Treasury Bills	1.77%	2.02%	5.88%
Long-Term Treasury Bonds	5.27%	4.88%	5.45%

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Page Statement Period Account No.

3849

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

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Total Account Value As Of 11/30/2001 $63,053.08

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	10/26/01 Value	%	11/30/01 Value	%
Cash/Money Accounts	15	*	15	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	60,272	100	63,036	100
Options				
Other				
*-Less than 1 %				
Long Market Value	60,288		63,052	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	60,289		63,053	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		1.69
Interest Income		
Dividend Income	49.91	1,154.08
Total	49.91	1,155.77

Items for Attention

Security	Message	Date
	No Items For Attention	

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9851.56	9075.14	10787.99
Three-Month Treasury Bills	1.77%	2.02%	5.88%
Long-Term Treasury Bonds	5.27%	4.88%	5.45%

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Page Statement Period Account No.

3850

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Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance		
Cash & Money Accounts	16.91	
Net Credits & Debits		4.02DR
Closing Balance		
Cash & Money Accounts	16.91	

Credits	This Statement	Year-to-Date
Sales		81,676.36
Income	49.91	1,155.77
Funds Received		
Electronic Tfrs		
Other		4.00
Total Credits	49.91	82,836.13

Debits	This Statement	Year-to-Date
Purchases		80,839.98
Withdrawals		
Electronic Tfrs		
Other	49.91	2,000.17
Total Debits	49.91	82,840.15

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(313.52)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
15	RETIREMENT RESERVES CL I		1.00	15	1.00	15				2.25

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3852

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MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
626	AMERICAN AMCAP FUND CL A (.0740 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$10,986	($864)	11,340	16.17	10,122	N/A	131	1.29
				N/A	16.17	1	N/A		1.29
518	AMERICAN FUNDAMENTAL INVESTORS INC CL A (.1650 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$15,473	($1,347)	15,828	27.27	14,125	N/A	207	1.46
				N/A	27.27	4	N/A		1.46
660	AMERICAN GROWTH FD OF AMERICA CL A (.4130 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$17,298	($1,834)	17,298	23.43	15,463	N/A	95	.61
				N/A	23.43	9	N/A		.61
69	BERGER SMALL CAP VAL INVESTOR CL (.0130 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$1,999	($33)	1,999	28.49	1,965	N/A	21	1.10
				N/A	28.49		N/A		1.10
760	MFS VALUE FD CL A (.4740 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$15,477	($984)	15,570	19.07	14,493	N/A	117	.81
				N/A	19.07	9	N/A		.81
167	NATIONS INTERNATIONAL VALUE FUND INV A (.8700 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01	$3,006	($347)	3,037	15.92	2,658	N/A		
				N/A	15.92	13	N/A		
671	WASATCH MICRO CAP FD (.1510 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01	$3,159	$1,007	3,485	6.21	4,166	N/A		
				N/A	6.21		N/A		
Total Equity Funds			($4,402)	68,560		63,036		574	.91

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3853

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FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Total Funds			($4,402)	68,560		63,036		574	.91

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio			68,576*	63,052	*	574	.91

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
11/19	Journal Entry	1	NATIONS INTERNATIONAL VALUE FUND INV A FULL SHARE ACCUM			
11/19	Divd Reinv	2	NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $44.31 REINV PRICE $15.52000 QUANTITY BOT 2.8550 AS OF 11/14			
Net Total						
Dividends and Interest						
11/19 *	Lg Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A			44.31
11/19 *	Sh Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A			5.60
Net Total						49.91

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3854

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FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		44.31	
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		5.60	
11/19	Divd Reinv		NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $5.60 REINV PRICE $15.52000 QUANTITY BOT .3610 AS OF 11/14			
Net Total					49.91	

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$15.95	$15.95	$.00	$1.69

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number: 7700700
Year-End Plan Value as of December 31, 2000 $72,765.44
Contributions after December 30, 2000 for 2000 $.00
Tax Identification Number 00-0000000
Date of Birth 02/11/44

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Page Statement Period Account No.

3855

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Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

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Total Account Value As Of 11/30/2001 $54,592.67

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PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

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Monthly Portfolio Summary

Asset	10/26/01 Value	%	11/30/01 Value	%
Cash/Money Accounts	13	*	13	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	52,138	100	54,578	100
Options				
Other				
*-Less than 1 %				
Long Market Value	52,151		54,591	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	52,152		54,592	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		288.80
Interest Income		
Dividend Income	44.92	1,033.50
Total	44.92	1,322.30

Items for Attention

Security	Message	Date
	No Items For Attention	

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	9851.56	9075.14	10787.99
Three-Month Treasury Bills	1.77%	2.02%	5.88%
Long-Term Treasury Bonds	5.27%	4.88%	5.45%

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3857

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MERRILL LYNCH SEP ACCOUNT

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FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	14.42	
Net Credits & Debits		31,586.28DR
Closing Balance Cash & Money Accounts	14.42	

Credits	This Statement	Year-to-Date
Sales		34,234.22
Income	44.92	1,322.30
Funds Received		4,007.00
Electronic Tfrs		
Other		17.98
Total Credits	44.92	39,581.50

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Electronic Tfrs		
Other	44.92	1,733.79
Total Debits	44.92	71,167.78

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(189.52)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
13	RETIREMENT RESERVES CL I		1.00	13	1.00	13				2.25

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3858

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MERRILL LYNCH SEP ACCOUNT

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FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
654	AMERICAN AMCAP FUND CL A	$11,495	($920)	11,848	16.17	10,575	N/A	137	1.29
	(.5320 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.17	8	N/A		1.29
413	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	($1,061)	12,618	27.27	11,262	N/A	165	1.46
	(.1280 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	27.27	3	N/A		1.46
532	AMERICAN GROWTH FD OF AMERICA CL A	$13,943	($1,478)	13,943	23.43	12,464	N/A	77	.61
	(.9030 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	23.43	21	N/A		.61
93	BERGER SMALL CAP VAL INVESTOR CL	$2,695	($45)	2,695	28.49	2,649	N/A	29	1.10
	(.1680 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.49	4	N/A		1.10
606	MFS VALUE FD CL A	$12,341	($784)	12,414	19.07	11,556	N/A	93	.81
	(.3180 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	19.07	6	N/A		.81
151	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($292)	2,743	15.92	2,403	N/A		
	(.0840 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	15.92	1	N/A		
583	WASATCH MICRO CAP FD	$2,740	$880	3,028	6.21	3,620	N/A		
	(.0090 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.21		N/A		
Total Equity Funds			($3,700)	59,291		54,578		503	.92

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Page Statement Period Account No.

3859

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Total Funds			($3,700)	59,291		54,578		503	.92

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

Total of Long Portfolio			59,305*	54,591	*	503	.92

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
11/19	Divd Reinv	2	NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $39.88 REINV PRICE $15.52000 QUANTITY BOT 2.5700 AS OF 11/14			
11/19	Journal Entry	1	NATIONS INTERNATIONAL VALUE FUND INV A FULL SHARE ACCUM			
Net Total						
Dividends and Interest						
11/19 *	Lg Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A			39.88
11/19	Sh Tm Cap Gain		NATIONS INTERNATIONAL VALUE FUND INV A			5.04
Net Total						44.92

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3860

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FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		39.88	
11/19	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		5.04	
11/19	Divd Reinv		NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $5.04 REINV PRICE $15.52000 QUANTITY BOT .3250 AS OF 11/14			
Net Total					44.92	

Customer Service For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 92-749-72789.

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$13.45	$13.45	$.00	$288.80

Retirement Account Plan Summary

Account Type:SEP PLAN Plan Number: 18003830
Year-End Plan Value as of December 31, 2000 $56,988.63
Contributions after 12/30/00 for 2000 $.00
Employer Contributions after 12/30/00 for 2000 $4,007.00

Tax Identification Number 00-0000000
Date of Birth 05/25/42

Tax Year 2001 Tax Year 2000

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3861

FBO PATRICIA OXLEY

Retirement Account Plan Summary

Contributions :		
Employer Contributions	$.00	$4,007.00

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FBO PATRICIA OXLEY

Agreement Regarding Your Securities Account and Other Important Information
You, the Client, and we, Merrill Lynch, Pierce, Fenner & Smith Inc., agree as follows:
(1) We will direct your order for a multi-listed security or option to the market place we consider to be the primary market for that security, unless you give us specific instructions to direct the order elsewhere.
(2) We will hold bonds and preferred stocks in bulk segregation (except for those held in custodian accounts). In the event of a call for less than an entire issue or series of those securities, the securities to be called will be automatically selected on a random basis from those held in bulk. The probability that your holdings will be selected is proportional to the amount of your holdings relative to those of other customers.
(3) If you have any obligations to us we can, subject to applicable rules and regulations of regulatory bodies, without notifying you, take any of the following actions with any or all securities in your account, including securities you may acquire or deposit to secure your account.
- We can pledge, repledge, hypothecate, or rehypothecate the securities. They may be commingled with securities carried for the accounts of other customers.
- We can lend the securities.
- We can deliver the securities on contracts for other customers even if we do not have in our possession and control a like amount of similar securities for delivery.

We can take any of these actions until you have discharged all your obligations to us. The amount involved in these actions may be more or less than the amount you owe us.
(4) We are not responsible for the loss or destruction of securities that are placed in the custody of a foreign bank or broker or other custodian, and are lost or destroyed as a result of war, civil commotion, enemy action, government acts or any other causes beyond the control of the depository or us.
(5) This statement of account shall be deemed conclusive if not objected to within ten (10) days.
(6) We can transfer your account to anyone by assignment, merger, consolidation or otherwise, unless you give us written notice to the contrary at the time. This agreement will inure to the benefit of anyone to whom we transfer the accounts. Nothing contained in this paragraph shall affect your right to transfer your account under NYSE Rule 412.

Insurance
The Securities Investor Protection Corporation (SIPC) protects securities and cash in Merrill Lynch accounts for up to $500,000 per client for securities (including up to $100,000 for cash). Merrill Lynch has obtained coverage in excess of the SIPC limits. SIPC and the excess-SIPC protection do not cover assets that are not securities or assets that are not held at Merrill Lynch. Cash on deposit at depository institutions (through programs such as Merrill Lynch Banking Advantage™ program, Retirement Asset Savings Program™ and ISA® program) or certificates of deposit purchased through Merrill Lynch are held at the depository institution, not at Merrill Lynch, and are protected by the Federal Deposit Insurance Corporation (FDIC) rather than by SIPC or excess-SIPC bond. Deposits held in different categories, such as individual, joint, trust, or retirement are separately insured by the FDIC up to $100,000 per depositor in each bank. For details, refer to the Program Description for your account, if applicable, or speak with your Financial Advisor.

Other Important Information
(1) We receive a fee from participating institutions of up to 2% per annum of the average daily balances in the ISA program. In the RASP™ and MLBA™ programs, this fee is up to .50% and is paid by our affiliated banks.
(2) You will have the right to vote full shares, and we will solicit instructions concerning the voting of full shares held in your account. If such instructions are not received by us on a timely basis, the voting shares in your account will be governed by the rules and policies of the New York Stock Exchange and the Securities and Exchange Commission then in effect.

Merrill Lynch, Pierce, Fenner & Smith Inc.
World Financial Center
North Tower
New York, N.Y. 10281-1332
Member, Securities Investor Protection Corporation (SIPC)

Other Important Information (Continued)
(3) This statement serves as a confirmation of purchases that result from automatic reinvestment transactions, as well as your AFPS transactions, during the statement period.
(4) Insurance policy information is based on data from the insurer that issued the policy. Merrill Lynch is not responsible for the calculation of policy values. Policies are generally not held in your Merrill Lynch account. If Merrill Lynch as custodian or trustee holds a policy that is a security, SIPC protection and excess SIPC protection applies.
(5) As an option customer, please advise your Financial Advisor promptly of any material change in your investment objectives or financial condition. Individual options commission charges have been included in your confirmation; however, a summary of this information will be made available to you upon request.
(6) Our financial statement is available for your personal inspection at our office, or a copy of it will be mailed upon your written request.

Special Note: If your records differ from this information, please notify your Financial Advisor in writing with a copy of the statement noting the discrepancy and, if appropriate, any necessary adjustments will be made.

WCMA Loan Account Activity
Reports important information from Merrill Lynch Business Financial Services Inc. (MLBFS,Inc.) through which the WCMA Line of Credit is made available. Includes information on your Line of Cred Loan Balance, Loan Subject to Interest, and Loan Interest Charged. Interest charges accrue daily during the statement period with each day being deemed to constitute 1/360 of a year. Refer to the WCMA Agreement and documents required by MLBFS for details.

Managed Trust Units
Information for RCMA for Business Retirement Plan clients on units of the Merrill Lynch GIC Managed Trust is reported from information supplied by the Merrill Lynch Trust Company or its agent. Neither the Trust nor its units are held in your Merrill Lynch, Pierce, Fenner & Smith Inc. account and therefore, are not subject to SIPC protection. An annual report will be furnished separately.

Symbols and Abbreviations

‡	Interest reported to IRS by Merrill Lynch as required by law.
*	Gross Proceeds reported to the IRS by Merrill Lynch as required by law.
**	Dividends reported to the IRS by Merrill Lynch as required by law.
;	Merrill Lynch maintains a fundamental opinion on this company.
!	Transactions reported to IRS.
#	Transaction you requested required same-day payment - MLPF &S retained last day's dividend to offset cost of advancing payment on your behalf.
A	This transaction was effected through a specialist which is our affiliate. In connection with its market making activity, such specialist may have a long or short position in this stock or in options on this stock and may be on the other side of public orders executed on the exchange.
	Such specialists may have profited or lost in connection with this transaction.
N/A	Value and/ or cost data not available.
N/C	Not calculated.
N/N	Non-negotiable securities.
N/N N/O	Non-negotiable securities held registered in your name.
N/O	Held registered in your name.
NOCC	Options Clearing Corporation.
NO CUST	Non-negotiable Custodian Registration.
NPC	Interest in assets not registered in the name of nor held by us or our nominees and held by you or registered in your name with the issuer or its agent. Merrill Lynch, Pierce, Fenner & Smith Inc. does not control or act as custodian for these investments.
RD	Bonds are rogorable from coupon to registered and vice versa without charge.
RO	Bonds registered for both principal and interest.

\+ *** END OF STATEMENT ***

Page Statement Period Account No.

3863

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MERRILL LYNCH CMA® ACCOUNT

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Total Account Value As Of 12/31/2001 $55,491.94

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629HUNTMANSTER LANE
MCLEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts	53	*	53	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	54,733	100	55,438	100
Options				
Other				
*Less than 1 %				
Long Market Value	54,786		55,491	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	54,787		55,491	

Income Summary

	This Statement	Year-to-Date
Money Fund Dividends	.06	11.54
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest		
Reportable Dividends	1,049.27	1,504.10
Income Not Reported	21.51	21.51
Total	1,070.84	1,537.15

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 53

NEWS

From all of us at Merrill Lynch... Thank you for the opportunity to serve you and your financial needs. All the best for a happy and prosperous New Year.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.86%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

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3864

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Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	53.62	
Net Credits & Debits	.06	700.610R
Closing Balance Cash & Money Accounts	53.68	

Credits	This Statement	Year-to-Date
Sales		27,456.46
Income	1,070.84	1,537.15
Funds Received		
Electronic Tfrs		
Other		25,000.00
Total Credits	1,070.84	53,995.61

Debits	This Statement	Year-to-Date
Purchases		52,789.99
Withdrawals		
Electronic Tfrs		
Other	1,070.70	1,906.23
Total Debits	1,070.78	54,696.22

Realized Capital Gain and Loss Summary*	This Month	Year-to-Date
Short-Term	.00	(802.18)
Long-Term	.00	(1,293.87)

*Excludes transactions for which we have insufficient data.

The capital gains and losses shown above may not reflect all transactions which must be reported on your 2001 tax return. Those reportable transactions will appear on your January statement

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
53	CMA MONEY FUND		1.00	53	1.00	53			1	2.15

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3865

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Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
835	AMERICAN AMCAP FUND CL A	$12,529	$931	12,875	16.12	13,460	585	141	1.05
	(.5230 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.12	8	N/A		1.05
195	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$6,207	($854)	6,693	27.45	5,352	(1,340)	78	1.45
	(.8060 FRACTIONAL SHARE) INITIAL PURCHASE: 08/24/00			N/A	27.45	22	N/A		1.45
479	AMERICAN GROWTH FD OF AMERICA CL A	$11,206	$150	11,245	23.71	11,357	112	21	.18
	(.0090 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	23.71		N/A		.18
59	BERGER SMALL CAP VAL INVESTOR CL	$1,564	$91	1,703	28.07	1,656	(49)	10	.64
	(.2930 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.07	8	N/A		.64
294	MFS VALUE FD CL A	$6,147	($438)	6,147	19.42	5,709	(438)	56	.98
	(.7410 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	19.42	14	N/A		.98
84	NATIONS INTERNATIONAL VALUE FUND INV A	$1,494	($157)	1,525	15.91	1,336	(189)	14	1.09
	(.8760 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	15.91	13	N/A		1.09
949	VAN KAMPEN COMSTOCK FUND CL A	$13,482	$1,398	14,176	15.68	14,880	700	178	1.19
	(.0710 FRACTIONAL SHARE) INITIAL PURCHASE: 09/17/01			N/A	15.68	1	N/A		1.19
244	WASATCH MICRO CAP FD	$1,139	$473	1,269	6.61	1,612	341		

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3866

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Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
	(.6960 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.61	4	N/A		
			$1,594	55,637		55,438	(278)	502	.91
Total Equity Funds			$1,594	55,637		55,438	(278)	502	.91
Total Funds			$1,594	55,637		55,438	(278)	502	.91
Total of Long Portfolio				55,690*		55,491	(278)*	503	.91

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
12/07	Divd Reinv	6	AMERICAN AMCAP FUND CL A REINV AMOUNT $115.40 REINV PRICE $16.49000 QUANTITY BOT 6.9980 AS OF 12/06			
12/07	Journal Entry	1	AMERICAN AMCAP FUND CL A FULL SHARE ACCUM			
12/07	Divd Reinv	4	AMERICAN AMCAP FUND CL A REINV AMOUNT $70.06 REINV PRICE $16.49000			

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3867

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
			QUANTITY BOT 4.2490			
			AS OF 12/06			
12/13	Divd Reinv	20	VAN KAMPEN			
			COMSTOCK FUND CL A			
			REINV AMOUNT $312.80			
			REINV PRICE $15.44000			
			QUANTITY BOT 20.2590			
			AS OF 12/12			
12/13	Journal Entry	1	VAN KAMPEN			
			COMSTOCK FUND CL A			
			FULL SHARE ACCUM			
12/13	Divd Reinv	20	VAN KAMPEN			
			COMSTOCK FUND CL A			
			REINV AMOUNT $311.44			
			REINV PRICE $15.44000			
			QUANTITY BOT 20.1710			
			AS OF 12/12			
12/13	Divd Reinv	2	VAN KAMPEN			
			COMSTOCK FUND CL A			
			REINV AMOUNT $42.58			
			REINV PRICE $15.44000			
			QUANTITY BOT 2.7580			
			AS OF 12/12			
12/13	Journal Entry	1	VAN KAMPEN			
			COMSTOCK FUND CL A			
			FULL SHARE ACCUM			
12/17	Divd Reinv	3	WASATCH MICRO CAP FD			
			REINV AMOUNT $16.23			
			REINV PRICE $6.31000			
			QUANTITY BOT 2.5720			
			AS OF 12/14			
12/17	Journal Entry	1	AMERICAN GROWTH FD OF			
			AMERICA CL A			
			FULL SHARE ACCUM			
12/28	Journal Entry	1	NATIONS INTERNATIONAL			
			VALUE FUND INV A			
			FULL SHARE ACCUM			
12/31	Divd Reinv	2	BERGER SMALL CAP VAL			
			INVESTOR CL			

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3868

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
			REINV AMOUNT $76.22 REINV PRICE $27.77000 QUANTITY BOT 2.7450 AS OF 12/24			
12/31	Journal Entry	1	BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM			
12/31	Divd Reinv	1	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $46.45 REINV PRICE $27.77000 QUANTITY BOT 1.6730 AS OF 12/24			
12/31	Journal Entry	1	BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM			
Net Total						
Dividends and Interest						
12/05 *	Dividend		MFS VALUE FD CL A			14.02
12/07 *	Dividend		AMERICAN AMCAP FUND CL A			70.06
12/07 *	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A			115.40
12/13 *	Dividend		VAN KAMPEN COMSTOCK FUND CL A			42.58
12/13 *	Lg Tm Cap Gain		VAN KAMPEN COMSTOCK FUND CL A			311.44
12/13 *	Sh Tm Cap Gain		VAN KAMPEN COMSTOCK FUND CL A			312.80
12/17 *	Lg Tm Cap Gain		WASATCH MICRO CAP FD			16.23
12/17 *	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			19.51
12/17	Dividend		AMERICAN GROWTH FD OF AMERICA CL A			21.51
12/28 *	Dividend		NATIONS INTERNATIONAL VALUE FUND INV A			14.69
12/31 *	Dividend		BERGER SMALL CAP VAL			9.87

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MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
12/31 *	Lg Tm Cap Gain		INVESTOR CL BERGER SMALL CAP VAL INVESTOR CL 5YR GN $0.16			46.45
12/31 *	Sh Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL			76.22
12/31	Cash Dividend		CMA MONEY FUND FROM 11-30 THRU 12-31			.06
Net Total						1,070.84
Other Activity						
12/05	Reinvestment		MFS VALUE FD CL A		14.02	
12/05	Divd Reinv		MFS VALUE FD CL A REINV AMOUNT $14.02 REINV PRICE $19.08000 QUANTITY BOT .7350 AS OF 12/04			
12/07	Reinvestment		AMERICAN AMCAP FUND CL A		70.06	
12/07	Reinvestment		AMERICAN AMCAP FUND CL A		115.40	
12/13	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		42.58	
12/13	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		311.44	
12/13	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		312.80	
12/17	Reinvestment		WASATCH MICRO CAP FD		16.23	
12/17	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		19.51	
12/17	Divd Reinv		AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $19.51 REINV PRICE $26.87000 QUANTITY BOT .7260 AS OF 12/14			
12/17	Reinvestment		AMERICAN GROWTH FD OF AMERICA CL A		21.51	

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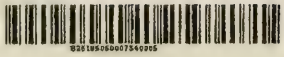

3870

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MERRILL LYNCH CMA® ACCOUNT

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Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
12/17	Divd Reinv		AMERICAN GROWTH FD OF AMERICA CL A REINV AMOUNT $21.51 REINV PRICE $23.41000 QUANTITY BOT .9190 AS OF 12/14			
12/28	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		14.69	
12/28	Divd Reinv		NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $14.69 REINV PRICE $15.60000 QUANTITY BOT .9420 AS OF 12/26			
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		9.87	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		46.45	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		76.22	
12/31	Divd Reinv		BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $9.87 REINV PRICE $27.77000 QUANTITY BOT .3550 AS OF 12/24			
Net Total					1,070.78	

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Tax Information Summary

	This Statement	Year-to-Date
Accrued Interest Paid		
Tax-Exempt		
Reportable		
Accrued Interest Received		
Tax-Exempt		
Reportable		
Gross Proceeds		27,458.46

Although we provide complete year-to-date information for Reportable Accrued Interest Received, Accrued Interest Paid and Tax-Exempt Accrued Interest Received and Paid include only those months we produce your profit and loss statement.

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
11/30		Opening Balance					.62CR	53
12/05	*	Dividend		MFS VALUE FD CL A		14.02CR		
12/05		Reinvestment		MFS VALUE FD CL A		14.02		
12/05		Divd Reinv		MFS VALUE FD CL A REINV AMOUNT $14.02 REINV PRICE $19.08000 QUANTITY BOT .7350 AS OF 12/04			.62CR	53
12/07	*	Dividend		AMERICAN AMCAP FUND CL A		70.06CR		
12/07		Reinvestment		AMERICAN AMCAP FUND CL A		70.06		
12/07	*	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A		115.40CR		
12/07		Reinvestment		AMERICAN AMCAP FUND CL A		115.40		
12/07		Divd Reinv	6	AMERICAN AMCAP FUND CL A REINV AMOUNT $115.40 REINV PRICE $16.49000 QUANTITY BOT 6.9980 AS OF 12/06				

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Merrill Lynch

MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
12/07	Journal Entry	1	AMERICAN AMCAP FUND CL A FULL SHARE ACCUM				
12/07	Divd Reinv	4	AMERICAN AMCAP FUND CL A REINV AMOUNT $70.06 REINV PRICE $16.49000 QUANTITY BOT 4.2490 AS OF 12/06			.62CR	53
12/13 *	Dividend		VAN KAMPEN COMSTOCK FUND CL A		42.58CR		
12/13	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		42.58		
12/13 *	Lg Tm Cap Gain		VAN KAMPEN COMSTOCK FUND CL A		311.44CR		
12/13	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		311.44		
12/13 *	Sh Tm Cap Gain		VAN KAMPEN COMSTOCK FUND CL A		312.80CR		
12/13	Reinvestment		VAN KAMPEN COMSTOCK FUND CL A		312.80		
12/13	Divd Reinv	20	VAN KAMPEN COMSTOCK FUND CL A REINV AMOUNT $312.80 REINV PRICE $15.44000 QUANTITY BOT 20.2590 AS OF 12/12				
12/13	Journal Entry	1	VAN KAMPEN COMSTOCK FUND CL A FULL SHARE ACCUM				
12/13	Divd Reinv	20	VAN KAMPEN COMSTOCK FUND CL A REINV AMOUNT $311.44 REINV PRICE $15.44000 QUANTITY BOT 20.1710 AS OF 12/12				
12/13	Divd Reinv	2	VAN KAMPEN COMSTOCK FUND CL A REINV AMOUNT $42.58 REINV PRICE $15.44000				

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3873

MICHAEL G OXLEY AND

Daily Activity Review

Date		Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
				QUANTITY BOT 2.7560				
				AS OF 12/12				
12/13		Journal Entry	1	VAN KAMPEN				
				COMSTOCK FUND CL A				
				FULL SHARE ACCUM			.62CR	53
12/17	*	Lg Tm Cap Gain		WASATCH MICRO CAP FD		16.23CR		
12/17		Reinvestment		WASATCH MICRO CAP FD		16.23		
12/17		Divd Reinv	2	WASATCH MICRO CAP FD				
				REINV AMOUNT $16.23				
				REINV PRICE $6.31000				
				QUANTITY BOT 2.5720				
				AS OF 12/14				
12/17	*	Dividend		AMERICAN FUNDAMENTAL		19.51CR		
				INVESTORS INC CL A				
12/17		Reinvestment		AMERICAN FUNDAMENTAL		19.51		
				INVESTORS INC CL A				
12/17		Divd Reinv		AMERICAN FUNDAMENTAL				
				INVESTORS INC CL A				
				REINV AMOUNT $19.51				
				REINV PRICE $26.87000				
				QUANTITY BOT .7260				
				AS OF 12/14				
12/17		Dividend		AMERICAN GROWTH FD OF		21.51CR		
				AMERICA CL A				
12/17		Reinvestment		AMERICAN GROWTH FD OF		21.51		
				AMERICA CL A				
12/17		Divd Reinv		AMERICAN GROWTH FD OF				
				AMERICA CL A				
				REINV AMOUNT $21.51				
				REINV PRICE $23.41000				
				QUANTITY BOT .9190				
				AS OF 12/14				
12/17		Journal Entry	1	AMERICAN GROWTH FD OF				
				AMERICA CL A				
				FULL SHARE ACCUM			.62CR	53
12/28	*	Dividend		NATIONS INTERNATIONAL		14.69CR		
				VALUE FUND INV A				
12/28		Reinvestment		NATIONS INTERNATIONAL		14.69		
				VALUE FUND INV A				
12/28		Divd Reinv		NATIONS INTERNATIONAL				

MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
			VALUE FUND INV A REINV AMOUNT $14.69 REINV PRICE $15.60000 QUANTITY BOT .9420 AS OF 12/26				
12/28	Journal Entry	1	NATIONS INTERNATIONAL VALUE FUND INV A FULL SHARE ACCUM			.62CR	53
12/31 *	Dividend		BERGER SMALL CAP VAL INVESTOR CL		9.67CR		
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		9.67		
12/31 *	Lg Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL 5YR GN $0.16		46.45CR		
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		46.45		
12/31 *	Sh Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL		76.22CR		
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		76.22		
12/31	Divd Reinv	1	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $76.22 REINV PRICE $27.77000 QUANTITY BOT 2.7450 AS OF 12/24				
12/31	Journal Entry	1	BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM				
12/31	Divd Reinv	1	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $46.45 REINV PRICE $27.77000 QUANTITY BOT 1.6730 AS OF 12/24				
12/31	Divd Reinv		BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $9.67 REINV PRICE $27.77000				

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3875

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MERRILL LYNCH CMA® ACCOUNT

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MICHAEL G OXLEY AND

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
			QUANTITY BOT .3550 AS OF 12/24				
12/31	Journal Entry	1	BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM				
12/31	Cash Dividend		CMA MONEY FUND FROM 11-30 THRU 12-31		.06CR		
12/31	**Closing Balance**				.68CR	.68CR	

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3876

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MERRILL LYNCH CMA® ACCOUNT

Total Account Value As Of 12/31/2001 $22,872.79

MICHAEL G OXLEY AND
PATRICIA A OXLEY JTWROS
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts	26,991	100	22,872	100
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds				
Options				
Other				
Long Market Value	26,991		22,872	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	26,991		22,872	

Income Summary

	This Statement	Year-to-Date
Tax-Exempt Funds		
Tax-Exempt Interest		
Reportable Interest	36.34	809.86
Reportable Dividends		
Income Not Reported		
Total	36.34	809.86

Items for Attention

Security	Message	Date
	No Items For Attention	

Purchasing Power 22,872

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.88%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

NEWS

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3877

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	26,991.96	
Net Credits & Debits	4,119.17DR	21,154.43
Closing Balance Cash & Money Accounts	22,872.79	

Credits	This Statement	Year-to-Date
Sales		
Income	36.34	809.86
Funds Received		
Electronic Tfrs		
Other		54,523.69
Total Credits	36.34	55,333.55

Debits	This Statement	Year-to-Date
Purchases		
Withdrawals		
Electronic Tfrs		
CMA Checks	4,155.51	9,079.12
Other		25,100.00
Total Debits	4,155.51	34,179.12

Bank Deposit Interest Summary

Money Account Description	Opening Balance	Average Deposit Balance	Current Yield %	Interest on Deposits	Closing Balance
Merrill Lynch Bank USA	26,991	25,795	1.66	36.34	22,871
Total ML Banking Advantage	26,991			36.34	22,871

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
	CASH			1		1				
22,871	ML BANKING ADVANTAGE		1.00	22,871	1.00	22,871			379	1.66
Total Cash and Money Accounts				22,872		22,872			379	1.66
Total of Long Portfolio				22,872		22,872			379	1.66

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3879

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MERRILL LYNCH CMA® ACCOUNT

MICHAEL G OXLEY AND

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Dividends and Interest						
12/31 ¤	Bank Interest		BANK DEPOSIT INTEREST			1.34
	Income Total		ML BANKING ADVANTAGE			35.00
Net Total						36.34

Summary of Checking Activity

Date Cleared	Date Written	Check Number	Payee	Amount
12/11	12/04	106	AMERICAN GENERAL BANK FSB	1,338.96
12/28	12/18	107	ACE PAINTING CO	980.00
12/27	12/21	108	BARNES CABINET SHOP INC	1,836.55
Total Checking Activity				4,155.51

Daily Activity Review

Date	Transaction	Quantity	Description	Price	Amount	Cash Balance	Money Account Balance
11/30	**Opening Balance**					.96CR	26,991
12/11	Check		AMERICAN GENERAL BANK FSB		1,338.96		
12/11	Withdrawal		ML BANKING ADVANTAGE		1,338.00CR	.00	25,653
12/27	Check		BARNES CABINET SHOP INC		1,836.55		
12/27	Withdrawal		ML BANKING ADVANTAGE		1,837.00CR	.45CR	23,816
12/28	Check		ACE PAINTING CO		980.00		
12/28	Withdrawal		ML BANKING ADVANTAGE		980.00CR	.45CR	22,836
12/31 ¤	Bank Interest		BANK DEPOSIT INTEREST		36.34CR		
12/31	**Closing Balance**				1.79CR	1.79CR	22,871

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3880

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MERRILL LYNCH IRRA® ACCOUNT

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Total Account Value As Of 12/31/2001 $64,308.29

MLPF& S CUST FPO
MICHAEL G OXLEY IRRA
FBO MICHAEL G OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts	15	*	15	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	63,036	100	64,291	100
Options				
Other				
*-Less than 1 %				
Long Market Value	63,052		64,307	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	63,053		64,308	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		1.69
Interest Income		
Dividend Income	500.83	1,654.91
Total	500.83	1,656.60

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

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Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.88%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

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3881

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MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	16.91	
Net Credits & Debits		4.02DR
Closing Balance Cash & Money Accounts	16.91	

Credits	This Statement	Year-to-Date
Sales		81,676.36
Income	500.83	1,656.60
Funds Received		
Electronic Tfrs		
Other		4.00
Total Credits	500.83	83,336.96

Debits	This Statement	Year-to-Date
Purchases		80,839.98
Withdrawals		
Electronic Tfrs		
Other	500.83	2,501.00
Total Debits	500.83	83,340.98

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(313.52)
Long-Term	.00	(4,405.45)

*Excludes transactions for which we have insufficient data.

The capital gains and losses shown above may not reflect all transactions which must be reported on your 2001 tax return. These reportable transactions will appear on your January statement.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
15	RETIREMENT RESERVES CL I		1.00	15	1.00	15				1.94

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3883

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MERRILL LYNCH IRRA® ACCOUNT

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Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
634	AMERICAN AMCAP FUND CL A	$10,986	($766)	11,471	16.12	10,220	N/A	107	1.05
	(.6160 FRACTIONAL SHARE)			N/A	16.12	9	N/A		1.05
	INITIAL PURCHASE: 05/23/01								
520	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$15,473	($1,199)	15,882	27.45	14,274	N/A	208	1.45
	(.0940 FRACTIONAL SHARE)			N/A	27.45	2	N/A		1.45
	INITIAL PURCHASE: 02/20/01								
661	AMERICAN GROWTH FD OF AMERICA CL A	$17,298	($1,626)	17,322	23.71	15,672	N/A	29	.18
	(.6830 FRACTIONAL SHARE)			N/A	23.71	16	N/A		.18
	INITIAL PURCHASE: 02/20/01								
75	BERGER SMALL CAP VAL INVESTOR CL	$1,999	$105	2,166	28.07	2,105	N/A	13	.64
	(.0540 FRACTIONAL SHARE)			N/A	28.07	1	N/A		.64
	INITIAL PURCHASE: 05/23/01								
762	MFS VALUE FD CL A	$15,477	($679)	15,608	19.42	14,798	N/A	145	.98
	(.3750 FRACTIONAL SHARE)			N/A	19.42	7	N/A		.98
	INITIAL PURCHASE: 02/20/01								
169	NATIONS INTERNATIONAL VALUE FUND INV A	$3,006	($317)	3,068	15.91	2,688	N/A	29	1.09
	(.7530 FRACTIONAL SHARE)			N/A	15.91	11	N/A		1.09
	INITIAL PURCHASE: 05/23/01								
678	WASATCH MICRO CAP FD	$3,159	$1,321	3,529	6.61	4,481	N/A		
	(.2830 FRACTIONAL SHARE)			N/A	6.61	1	N/A		
	INITIAL PURCHASE: 02/20/01								
Total Equity Funds			($3,161)	69,049		64,291		534	.83

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3884

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MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Total Funds			($3,161)	69,049		64,291		534	.83
Total of Long Portfolio				69,065*		64,307	*	534	.83

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN: Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A Items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
12/05	Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $36.27 REINV PRICE $19.08000 QUANTITY BOT 1.9010 AS OF 12/04			
12/05	Journal Entry	1	MFS VALUE FD CL A FULL SHARE ACCUM			
12/07	Divd Reinv	5	AMERICAN AMCAP FUND CL A REINV AMOUNT $87.65 REINV PRICE $16.49000 QUANTITY BOT 5.3150 AS OF 12/06			
12/07	Divd Reinv	3	AMERICAN AMCAP FUND CL A REINV AMOUNT $53.22 REINV PRICE $16.49000 QUANTITY BOT 3.2270 AS OF 12/06			
12/17	Divd Reinv	7	WASATCH MICRO CAP FD			

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3885

FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
			REINV AMOUNT $45.00 REINV PRICE $6.31000 QUANTITY BOT 7.1320 AS OF 12/14			
12/17	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $51.82 REINV PRICE $26.87000 QUANTITY BOT 1.9290 AS OF 12/14			
12/17	Journal Entry	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A FULL SHARE ACCUM			
12/17	Divd Reinv	1	AMERICAN GROWTH FD OF AMERICA CL A REINV AMOUNT $29.72 REINV PRICE $23.41000 QUANTITY BOT 1.2700 AS OF 12/14			
12/28	Divd Reinv	1	NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $29.38 REINV PRICE $15.60000 QUANTITY BOT 1.8830 AS OF 12/26			
12/28	Journal Entry	1	NATIONS INTERNATIONAL VALUE FUND INV A FULL SHARE ACCUM			
12/31	Divd Reinv	3	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $96.48 REINV PRICE $27.77000 QUANTITY BOT 3.4740 AS OF 12/24			
12/31	Divd Reinv	2	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $58.80			

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3886

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MERRILL LYNCH IRRA® ACCOUNT

MFA Selects

FBO MICHAEL G OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions							
12/31		Journal Entry	1	REINV PRICE $27.77000 QUANTITY BOT 2.1170 AS OF 12/24 BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM			
Net Total							
Dividends and Interest							
12/03	*	Dividend		MFS VALUE FD CL A			36.27
12/07	*	Dividend		AMERICAN AMCAP FUND CL A			53.22
12/07	*	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A			87.65
12/17	*	Lg Tm Cap Gain		WASATCH MICRO CAP FD			45.00
12/17	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			51.82
12/17		Dividend		AMERICAN GROWTH FD OF AMERICA CL A			29.72
12/28	*	Dividend		NATIONS INTERNATIONAL VALUE FUND INV A			29.38
12/31	*	Dividend		BERGER SMALL CAP VAL INVESTOR CL			12.49
12/31	*	Lg Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL 5YR GN $0.21			58.80
12/31	*	Sh Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL			96.48
Net Total							500.83
Other Activity							
12/05		Reinvestment		MFS VALUE FD CL A		36.27	
12/07		Reinvestment		AMERICAN AMCAP FUND CL A		53.22	
12/07		Reinvestment		AMERICAN AMCAP FUND CL A		87.65	
12/17		Reinvestment		WASATCH MICRO CAP FD		45.00	

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3887

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MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
12/17	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		51.82	
12/17	Reinvestment		AMERICAN GROWTH FD OF AMERICA CL A		29.72	
12/26	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		29.38	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		12.49	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		58.80	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		96.48	
12/31	Divd Reinv		BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $12.49 REINV PRICE $27.77000 QUANTITY BOT .4500 AS OF 12/24			
Net Total					500.83	

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Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$15.95	$15.95	$.00	$1.69

Retirement Account Plan Summary

Account Type: IRA ROLLOVER Plan Number: 7700700

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3888

Merrill Lynch

MERRILL LYNCH IRRA® ACCOUNT

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FBO MICHAEL G OXLEY

Retirement Account Plan Summary

Year-End Plan Value as of December 31, 2001	$64,308.29	Tax Identification Number	00-0000000
Contributions after December 30, 2000 for 2000	$.00	Date of Birth	02/11/44

For purposes of calculating required minimum distributions or completing IRS Form 8606, you are required to use the value of your account as of 12/31/01. This value should include your Priced Portfolio total and the value of certain limited partnerships and other direct investments as well as any securities that we are unable to price - marked "Unavailable". The "Year-End Plan Value" shown consists of your Priced Portfolio total plus the estimated value of limited partnerships or other direct investments reported on your year-end statement.

For IRA, IRRA, SEP/IRA, SIMPLE/IRA, Roth IRA and ESA accounts, the Year-End Plan Value represents the valuation we must furnish to you and the Internal Revenue Service as part of the IRS Form 5498 reporting requirements.

Note: To ensure accurate reporting to the IRS, please verify the social security number below. If a correction is necessary, please contact your Financial Advisor or Service Associate.

Your Social Security Number: 278-40-8366

3889

Merrill Lynch

MERRILL LYNCH SEP ACCOUNT

MFA Selects

Total Account Value As Of 12/31/2001 $55,724.99

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PATRICIA A OXLEY SEP
FBO PATRICIA OXLEY
7629 HUNTMASTER LN
MC LEAN VA 22102-2531

YOUR FINANCIAL ADVISOR:
HARRISON GROUP

(202) 659-7373

Your Merrill Lynch Office:
1850 K ST NW 7TH FLOOR
WASHINGTON DC 20006

FOR CUSTOMER SERVICE QUESTIONS: 1-800-MERRILL (1-800-637-7455)

Monthly Portfolio Summary

Asset	11/30/01 Value	%	12/31/01 Value	%
Cash/Money Accounts	13	*	13	*
CD's/Equivalents				
Government Securities				
Corporate Bonds				
Municipal Bonds				
Equities				
Mutual Funds	54,578	100	55,710	100
Options				
Other				
*-Less than 1 %				
Long Market Value	54,591		55,724	
Short Market Value				
Estimated Accrued Interest				
Debit Balance				
Net Portfolio Value	54,592		55,724	

Income Summary

	This Statement	Year-to-Date
Fund Dividends		288.80
Interest Income		
Dividend Income	533.50	1,567.00
Total	533.50	1,855.80

Items for Attention

Security	Message	Date
	No Items For Attention	

NEWS

From all of us at Merrill Lynch....Thank you for the opportunity to serve you and your financial needs. All the best for a happy and prosperous New Year.

Financial Market Indicators

	This Statement	Last Statement	Previous Year-End
Dow Jones Industrial Average	10021.64	9851.56	10787.99
Three-Month Treasury Bills	1.71%	1.77%	5.88%
Long-Term Treasury Bonds	5.47%	5.27%	5.45%

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3890

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Cash Flow Summary

Activity Summary	This Statement	Year-to-Date
Opening Balance Cash & Money Accounts	14.42	
Net Credits & Debits		31,586.28DR
Closing Balance Cash & Money Accounts	14.42	

Credits	This Statement	Year-to-Date
Sales		34,234.22
Income	533.50	1,855.80
Funds Received		4,007.00
Electronic Tfrs		
Other		17.98
Total Credits	533.50	40,115.00

Debits	This Statement	Year-to-Date
Purchases		69,433.99
Withdrawals		
Electronic Tfrs		
Other	533.50	2,267.29
Total Debits	533.50	71,701.28

Realized Capital Gain and Loss Summary*

	This Month	Year-to-Date
Short-Term	.00	(189.52)
Long-Term	.00	(4,353.61)

*Excludes transactions for which we have insufficient data.

The capital gains and losses shown above may not reflect all transactions which must be reported on your 2001 tax return. These reportable transactions will appear on your January statement.

Current Portfolio

Quantity	Security Description	Date Acquired	Adjust/Unit Cost Basis	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Accrued Interest	Estimated Annual Income	Current Yield %
Cash and Money Accounts										
13	RETIREMENT RESERVES CL I		1.00	13	1.00	13				1.94

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3891

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Mutual Funds and Defined Asset Funds									
Equity Funds									
663	AMERICAN AMCAP FUND CL A	$11,495	($807)	11,996	16.12	10,687	N/A	112	1.05
	(.4630 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	16.12	7	N/A		1.05
414	AMERICAN FUNDAMENTAL INVESTORS INC CL A	$12,323	($959)	12,644	27.45	11,364	N/A	165	1.45
	(.6650 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	27.45	18	N/A		1.45
533	AMERICAN GROWTH FD OF AMERICA CL A	$13,943	($1,306)	13,967	23.71	12,637	N/A	23	.18
	(.9270 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	23.71	21	N/A		.18
101	BERGER SMALL CAP VAL INVESTOR CL	$2,695	$139	2,917	28.07	2,835	N/A	18	.64
	(.3230 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	28.07	9	N/A		.64
607	MFS VALUE FD CL A	$12,341	($553)	12,433	19.42	11,787	N/A	115	.98
	(.8340 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	19.42	16	N/A		.98
152	NATIONS INTERNATIONAL VALUE FUND INV A	$2,696	($278)	2,758	15.91	2,418	N/A	26	1.09
	(.7790 FRACTIONAL SHARE) INITIAL PURCHASE: 05/23/01			N/A	15.91	12	N/A		1.09
589	WASATCH MICRO CAP FD	$2,740	$1,153	3,066	6.61	3,893	N/A		
	(.2040 FRACTIONAL SHARE) INITIAL PURCHASE: 02/20/01			N/A	6.61	1	N/A		
Total Equity Funds			($2,611)	59,785		55,770		463	.83

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3892

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Current Portfolio

Quantity	Security Description	Total Client Investment	Cumulative Investment Return	Total Cost Basis	Estimated Market Price	Estimated Market Value	Unrealized Gain or (Loss)	Estimated Annual Income	Current Yield %
Total Funds			($2,611)	59,785		55,710		463	.83
Total of Long Portfolio				59,798*		55,724	*	464	.83

TOTAL CLIENT INVESTMENT: Cost of shares directly purchased and still held. Does not include shares purchased through reinvestment.
CUMULATIVE INVESTMENT RETURN. Estimated Market Value minus Total Client Investment. Cumulative Investment Return is the capital appreciation (depreciation) of all shares purchased, including shares purchased through reinvestment.

UNREALIZED GAIN or (LOSS): Estimated Market Value minus Total Cost Basis. Provided for Tax Planning purposes only and is not applicable to retirement accounts "denoted by N/A".
INITIAL PURCHASE: Date of your initial investment in this fund.

* - Excludes N/A items

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
12/05	Divd Reinv	1	MFS VALUE FD CL A REINV AMOUNT $28.92 REINV PRICE $19.08000 QUANTITY BOT 1.5160 AS OF 12/04			
12/07	Divd Reinv	5	AMERICAN AMCAP FUND CL A REINV AMOUNT $91.63 REINV PRICE $16.49000 QUANTITY BOT 5.5570 AS OF 12/06			
12/07	Journal Entry	1	AMERICAN AMCAP FUND CL A FULL SHARE ACCUM			
12/07	Divd Reinv	3	AMERICAN AMCAP FUND CL A REINV AMOUNT $55.64 REINV PRICE $16.49000 QUANTITY BOT 3.3740 AS OF 12/06			

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3893

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MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions						
12/17	Divd Reinv	6	WASATCH MICRO CAP FD REINV AMOUNT $39.09 REINV PRICE $6.31000 QUANTITY BOT 6.1950 AS OF 12/14			
12/17	Divd Reinv	1	AMERICAN FUNDAMENTAL INVESTORS INC CL A REINV AMOUNT $41.31 REINV PRICE $26.87000 QUANTITY BOT 1.5370 AS OF 12/14			
12/17	Divd Reinv	1	AMERICAN GROWTH FD OF AMERICA CL A REINV AMOUNT $23.98 REINV PRICE $23.41000 QUANTITY BOT 1.0240 AS OF 12/14			
12/26	Divd Reinv	1	NATIONS INTERNATIONAL VALUE FUND INV A REINV AMOUNT $26.44 REINV PRICE $15.60000 QUANTITY BOT 1.6950 AS OF 12/26			
12/31	Divd Reinv	4	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $130.25 REINV PRICE $27.77000 QUANTITY BOT 4.6900 AS OF 12/24			
12/31	Divd Reinv	2	BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $79.38 REINV PRICE $27.77000 QUANTITY BOT 2.8580 AS OF 12/24			

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date		Transaction	Quantity	Description	Price	Debit	Credit
Security Transactions							
12/31		Journal Entry	1	BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM			
12/31		Journal Entry	1	BERGER SMALL CAP VAL INVESTOR CL FULL SHARE ACCUM			
Net Total							
Dividends and Interest							
12/05	*	Dividend		MFS VALUE FD CL A			28.92
12/07	*	Dividend		AMERICAN AMCAP FUND CL A			55.64
12/07	*	Lg Tm Cap Gain		AMERICAN AMCAP FUND CL A			91.63
12/17	*	Lg Tm Cap Gain		WASATCH MICRO CAP FD			39.09
12/17	*	Dividend		AMERICAN FUNDAMENTAL INVESTORS INC CL A			41.31
12/17		Dividend		AMERICAN GROWTH FD OF AMERICA CL A			23.98
12/28	*	Dividend		NATIONS INTERNATIONAL VALUE FUND INV A			26.44
12/31	*	Dividend		BERGER SMALL CAP VAL INVESTOR CL			16.86
12/31	*	Lg Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL 5YR GN $0.28			79.38
12/31	*	Sh Tm Cap Gain		BERGER SMALL CAP VAL INVESTOR CL			130.25
Net Total							533.50
Other Activity							
12/05		Reinvestment		MFS VALUE FD CL A		28.92	
12/07		Reinvestment		AMERICAN AMCAP FUND CL A		55.64	
12/07		Reinvestment		AMERICAN AMCAP FUND CL A		91.63	
12/17		Reinvestment		WASATCH MICRO CAP FD		39.09	

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3895

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MERRILL LYNCH SEP ACCOUNT

RIFA Selects

FBO PATRICIA OXLEY

Monthly Activity

Date	Transaction	Quantity	Description	Price	Debit	Credit
Other Activity						
12/17	Reinvestment		AMERICAN FUNDAMENTAL INVESTORS INC CL A		41.31	
12/17	Reinvestment		AMERICAN GROWTH FD OF AMERICA CL A		23.98	
12/28	Reinvestment		NATIONS INTERNATIONAL VALUE FUND INV A		26.44	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		16.86	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		79.38	
12/31	Reinvestment		BERGER SMALL CAP VAL INVESTOR CL		130.25	
12/31	Divd Reinv		BERGER SMALL CAP VAL INVESTOR CL REINV AMOUNT $16.86 REINV PRICE $27.77000 QUANTITY BOT .6070 AS OF 12/24			
Net Total					533.50	

Customer Service For information about your account, please call 1-800-MERRILL (1-800-637-7455). To report Lost or Stolen Visa Cards or Checks, please call 1-800-262-5678. When requested, enter your Access Code 82-749-72799.

SEP Retirement Account Money Funds Summary

Description	Fund Balances Opening	Fund Balances Closing	Dividends This Statement	Dividends Year to Date
Retirement Reserves CL I	$13.45	$13.45	$.00	$288.80

Retirement Account Plan Summary

Account Type: SEP PLAN Plan Number: 18003830

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3896

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MERRILL LYNCH SEP ACCOUNT

MFA Selects

FBO PATRICIA OXLEY

Retirement Account Plan Summary

Year-End Plan Value as of December 31, 2001	$55,724.99	Tax Identification Number	00-0000000
Contributions after 12/30/00 for 2000	$.00	Date of Birth	05/25/42
Employer Contributions after 12/30/00 for 2000	$4,007.00		

	Tax Year 2001	Tax Year 2000
Contributions :		
Employer Contributions	$.00	$4,007.00

For purposes of calculating required minimum distributions or completing IRS Form 8606, you are required to use the value of your account as of 12/31/01. This value should include your Priced Portfolio total and the value of certain limited partnerships and other direct investments as well as any securities that we are unable to price - marked "Unavailable". The "Year-End Plan Value" shown consists of your Priced Portfolio total plus the estimated value of limited partnerships or other direct investments reported on your year-end statement.

For IRA, IRRA, SEP/IRA, SIMPLE/IRA, Roth IRA and ESA accounts, the Year-End Plan Value represents the valuation we must furnish to you and the Internal Revenue Service as part of the IRS Form 5498 reporting requirements.

Note: To ensure accurate reporting to the IRS, please verify the social security number below. If a correction is necessary, please contact your Financial Advisor or Service Associate.

Your Social Security Number: 202-32-0696

3897

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 3:59
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC
(Office Use Only)

Frank J. Pallone Jr.
(Full Name)

1187 Ocean Ave
Long Branch, NJ 07740
(Mailing Address)

Daytime Telephone: (202) 225-4671

Filer Status	[X] Member of the U.S. House of Representatives — State: NJ District: 6th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [ ]	No [X]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [X]	No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Frank Pallone	May 14, 2002

38898

Name Frank J. Pallone | Page 2 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$600
	The Connell Company	Speech	April 18, 2001	$2,000

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Name Frank J. Pallone

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	Block E
SP	Examples: Mega Corp. Stock					X								X										X								P
DC	Examples: Simon & Schuster			Indefinite																Royalties									X			
JT	Examples: 1st Bank of Paducah, KY accounts						X									X									X							
DC	Prudential Securities													X								X										
DC	EVERGREEN CRT MONEY				X									X								Y										
DC	EVERGREEN MONEY MKT				X									X								Y										
DC	GENERAL ELECTRIC				X									X									X									P
DC	GOLDMAN SACHS				X									X								X										P
DC	HOME DEPOT				X									X								X										P
DC	PFIZER INC				X									X								Y										P

For additional assets and unearned income, use next page.

3900

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Frank J. Ballone

Page 4 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
DC	WORLDCOM INC. MCI GRP		X											X								X										P
DC	WORLDCOM INC GA NEW			X										X							X											P
DC	MICROSOFT CORP			X										X			X					X										S
DC	VERTEX PHARM			X										X			X								X							S
DC	CISCO SYSTEMS			X										X							X											
DC	LAUDER ESTEE COS INC			X										X								X										
DC	WALT DISNEY			X										X								X										
DC	INTEL CORP			X										X								X										
DC	EVERGREEN PREMIER 20-A				X									X							X											P
DC	HFS EMER GROWTH CLB			X										X			X						X									S
DC	HFS RESEARCH CLA	X												X			X									X						S
JT	FIRST UNION SECURITIES																															
	EATON VANCE NAT'L MUN B	X												X			X						X								S	
	EVERGREEN HM			X										X								X										
	EVERGREEN RES HM													X								X										
	NOKIA CORP			X										X								X										P
	TREASURY CONV STS 100			X												X					X											
	HFS SCR TR MID CAP				X									X		X						X										S
	AOL TIME WARNER			X										X							X											
	CISCO SYSTEMS			X										X							X											

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3901

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name FRANK J. PALLONE

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	CONGRESSIONAL FEV ACCOUNTS		X													X					X											
	FIRST UNION BANK LONG BRANCH ACCOUNTS		X													X					X											
SP	GENERAL ELECTRIC ERE PENSION														PENSION										X							
	FIRST UNION BANK WASHINGTON DC ACCOUNTS		X													X					X											
SP	FIRST UNION SECURITIES																															
	SEP / IRA ACCOUNTS																															
	WALT DISNEY CO			X										X									NA			IRA						
	EURO PACIFIC FUND			X										X									NA			IRA						
	EVERGREEN FUND			X										X									NA			IRA						
	GENERAL ELECTRIC			X										X									NA			IRA						
	LAUDER ESTEE			X										X									NA			IRA						
	HERK & CO			X										X									NA			IRA						
	HFS BOND FUND			X										X									NA			IRA						
	PUTNAM INT FUND				X									X									NA			IRA						
	TEXAS INST INC			X										X									NA			IRA						
	UNILEVER PLC			X										X									NA			IRA						
	VALERO ENERG & MET			X										X									NA			IRA						
	FRANK INV CWT. DYNA			X																												

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name FRANK J. PALUONE

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP	FIRST UNION SECURITIES				
	ROTH IRA				
	EVERGREEN FUNDS	C	DIVIDENDS	IV NA – V – VI IRA	
	FRANKLY COST DYNA TECH	C	DIVIDENDS	IV NA – VI IRA	
SP	FIRST UNION SECURITIES				
	ROTH IRA				
	EVERGREEN FUNDS	C	DIVIDENDS	IV NA – VI IRA	
	FRANKLY COST DYNA	C	DIVIDENDS	IV NA – VI IRA	
SP	Plustream	C	DIVIDENDS	I	
SP	The Phoenix Co.	C	DIVIDENDS	I	

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3903

SCHEDULE IV — TRANSACTIONS

Name Frank J. Ballone

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Eaton Vance Mons Tr Clb		X		VARIOUS		X								
JT	MFS Ser Tr IV Mid Cap		X		8-23-01	X									
DC	Vertex Pharm Inc		X		2-12-01	X									
DC	Vertex Pharm Inc		X		4-27-01	X									
DC	MFS Research CL A		X		2-1-01			X							
DC	EVERGREEN EQUITY PREMIER 20-A	X			2-2-01			X							
DC	MFS EMERGENCY GROWTH B		X		2-10	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	EDISON ELECTRIC INSTITUTE	JAN 10-11	Long Branch NJ - TUCSON, AZ - Long Branch NJ	Y	Y	N	N
	ELECTRIC POWER SUPPLY ASSOCIATION	JAN 28-29	Long Branch NJ - PALM SPRINGS, CA Long Branch NJ	Y	N	N	N
	ARMENIAN ASSEMBLY OF AMERICA	MAR 16-17	Long Branch NJ - BOCA RATON, FL Long Branch NJ	Y	N	N	N
	PENOBSCOT & PASSAMAQUODDY TRIBES	AUG-13	Long Branch NJ - BANGOR, MA - Long Branch NJ	N	N	N	N

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HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY -9 AM 11:30
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

William James Pascrell Jr.
(Full Name)

441 Ninth Avenue
(Mailing Address)

Daytime Telephone:

Paterson New Jersey 07514

Filer Status	[X] Member of the U.S. House of Representatives	State: NJ District: 9th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William J Pascrell	

3908

Name William James Pascrell, Jr.	Page 2 of 3

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	US House of Representatives (H)	Salary	150,575
	State of New Jersey (H)	Pension	45,522

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A: Asset and/or Income Source	Block B: Value of Asset	Block C: Type of Income	Block D: Amount of Income	Block E: Transaction
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT	*Examples:* SP Mega Corp. Stock		X	X	P
	Simon & Schuster	Indefinite		X	
	1st Bank of Paducah, KY accounts	X	X	X	
JT	State of New Jersey Pension	X	Pension	X	
JT	County of Essex - Bond	X	X	X	
JT	Advest IBM 100 Sh	X	X	X	
	Reg Mutual Fund 242 Sh	X	X	X	
	NJ Municipal Bond	X	X	X	
	Jersey City C/O	X	X	X	P

For additional assets and unearned income, use next page.

3910

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name William James Pascrell, Jr. | Page 4 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Pascrell C/O				X									X									X									P
	Washington Twsp Rehabilitation				X									X																		P
	Pelicans Park C/O				X									X									X									P
	NJ Bldg Auth				X									X									X									P
	Mulboro MUA				X									X									X									P
JT	First Union CAP Acct																															
	Evergreen Equity Trust															X								X								
	Pelican NJ Tax Exempt					X										X								X								
JT	Dime Savings Bank				X																			X								
JT	Evergreen Funds			X										X									X									
JT	First Union				X											X							X									
JT	First Union				X											X								X								
	First Union - Retirement			X												X							X									
SP	Fidelity Magellan						X							X																		
	Fidelity Magellan			X										X																		
SP	Fidelity 401K			X										X																		
	Hudson United Bank IRA				X											X										X						
SP	Hudson United Bank IRA				X											X										X						
SP	Merrill Lynch IRA				X									X									X									
SP	Transamerica Life & Annuity						X									X																
SP	Transamerica Life + Annuity				X											X																
SP	Transamerica Life + Annuity				X											X																

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name William James Pascrell Jr

Page 5 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Transamerica Life Ins Co.					X										X																
SP	Valic IRA			X												X																
SP	Valic IRA				X											X																
	Valic IRA				X											X																
	Valic IRA					X										X																
JT	Bryn Beach																															
	NJ Economic Dev Bank			X												X							X									
	Amgen 150 Sh			X										X																		
	Prime Munic Fund			X										X									X									P
JT	US Savings Bonds (E & EE)					X										X									X							
	Thrift Savings Plan-Retirement					X								X																		

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SCHEDULE IV — TRANSACTIONS

Name William James Parrell, Jr. | Page 6 of 7

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Jersey City NJ G/O Series B	X					X								
JT	Passaic County NJ G/O Refunding	X			3-03-01		X								
JT	Weehawken Township - Hoboken City G/O	X					X								
JT	Palisades Park NJ G/O	X			3-15-01		X								
JT	NJ Building Authority	X					X								
JT	Marlboro Township MUA	X					X								
JT	Pinson Municipal Fund	X			6-26-01	X									
JT	NJ Healthcare Fac Financing		X		7-02-01	X									

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Fox News Channel	1/10	Cav - Paterson - NYC - Paterson	N	N	N	N
	Fox News Channel	1/21	Cav - Paterson - NYC - Paterson	N	N	N	N
	Fox News Channel	1/24	Cav - Paterson - NYC - Paterson	N	N	N	N
	Fox News Channel	3/17	Cav - Paterson - NYC - Paterson	N	N	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:26
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

WILLIAM JAMES PASCRELL JR.
(Full Name)

441 9th AVENUE 973-523-5752
(Mailing Address) Daytime Telephone:

PATERSON NEW JERSEY 07514

Filer Status	☐ Member of the U.S. House of Representatives — State: NJ District: 8	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☒ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☐

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William J. Pascrell Jr.	5/9/02

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(1)

LEGISLATIVE RESOURCE CENTER
2002 MAY 16 PM 1:48
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

William James Pascrell Jr
(Full Name)

441 9th Avenue
(Mailing Address)

973-523-5752
Daytime Telephone:

Paterson, New Jersey 07514

Filer Status	[X] Member of the U.S. House of Representatives	State: NJ District: 8	[ ] Officer or Employee	Employing Office:
Report Type	[ ] Annual (May 15)	[X] Amendment	[ ] Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [X]	No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [ ]	No [X]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transact on exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [X]	No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [ ]	No [X]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William J Pascrell Jr	5/16/02

3916

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2002 MAY 15 PM 2:21

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page

Edward L Pastor
(Full Name)

1151 West Thomas Road Phoenix, AZ 85013-4206
(Mailing Address)

202-225-4065
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: AZ District: 02	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ed Pastor	5-15-02

3917

SCHEDULE I - EARNED INCOME

Name Edward L. Pastor

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
US House of Representatives	Salary	$144,063
WestEd, Inc.	Spouse Salary	$7,552
Isaac School District	Spouse Salary	$9,000
State of Arizona	Spouse Pension	$31,212
Scottsdale Public Schools	Spouse consulting fees	$700

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward L Pastor

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Residential lot, Guadalupe, AZ	$1,001 - $15,000	Capital gains	NONE	NA
SP	AZ State Employees Credit Union Checking account	$15,001 $50,000	Interest	$201 - $1,000	NA
SP	AZ State Employee Federal Credit Union, Phx, AZ Certificate of Deposit	$15,001 - $50,000	Interest	NA	NA
	Bank One, Phx, AZ (IRA)	$1,001 - $15,000	Interest	NA	NA
SP	AZ State Retirement System Pension Fund	$50,001 - $100,000	Capital gains, interest	NA	NA
	AZ State Elected Officials Retirement System Pension Fund	$15,001 - $50,000	Capital gains, interest	NA	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward L Paster

	Congressional Federal Credit Union - Savings	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	Nationwide Deferred Compensation Plan, Phx, AZ	$15,001 - $50,000	Capital gains, interest	NA	NA
SP	T.I.A.A.-C.R.E.F. Pension Fund	$50,001 - $100,000	Capital gains	NA	NA
SP	Guardian Park Avenue Fund A	$1,001 - $15,000	Capital gains	$201 - $1,000	NA
SP	Prudential Securities Pension Fund	$15,001 - $50,000	Capital gains, interest	NA	NA
	Thrift Savings Plan Pension Fund, Washington, DC	$100,001 - $250,000	Capital gains, contributions	NA	NA
	AmerUs Group Life Insurance Cash Value	$15,001 - $50,000	Dividends, premiums	NA	NA

SCHEDULE V - LIABILITIES

Name Edward L Pastor

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Bank of America, Phoenix, AZ	Mortgage on 1151 W Thomas Rd, Phx, AZ	$15,001 - $50,000
JT	Bank One, Phoenix, AZ	Home Equity Line of Credit on 1151 W Thomas Rd, Phx, AZ	$15,001 - $50,000
JT	Homeside Lending Inc, San Antonio, TX	Mortgage on 1015 W Campbell, Phx, AZ	$50,001 - $100,000
	Wells Fargo Mortgage, Des Moines, IA	Mortgage on 649 C St, #304, Washington, DC	$50,001 - $100,000
JT	AZ State Employees Credit Union	Vehicle loan	$10,001 - $15,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Edward L. Pastor

	Congressional Federal Credit Union - Savings	$1,001 - $15,000	Interest	$201 - $1,000	NA
SP	Nationwide Deferred Compensation Plan, Phx, AZ	$15,001 - $50,000	Capital gains, interest	NA	NA
SP	T.I.A.A.-C.R.E.F. Pension Fund	$50,001 - $100,000	Capital gains	NA	NA
SP	Guardian Park Avenue Fund A	$1,001 - $15,000	Capital gains	$201 - $1,000	NA
SP	Prudential Securities Pension Fund	$15,001 - $50,000	Capital gains, interest	NA	NA
	Thrift Savings Plan Pension Fund, Washington, DC	$100,001 - $250,000	Capital gains, contributions	NA	NA
	AmerUs Group Life Insurance Cash Value	$15,001 - $50,000	Dividends, premiums	NA	NA

SCHEDULE V - LIABILITIES

Name Edward L. Pastor

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Bank of America, Phoenix, AZ	Mortgage on 1151 W Thomas Rd, Phx, AZ	$15,001 - $50,000
JT	Bank One, Phoenix, AZ	Home Equity Line of Credit on 1151 W Thomas Rd, Phx, AZ	$15,001 - $50,000
JT	Homeside Lending Inc, San Antonio, TX	Mortgage on 1015 W Campbell, Phx, AZ	$50,001 - $100,000
	Wells Fargo Mortgage, Des Moines, IA	Mortgage on 649 C St, #304, Washington, DC	$50,001 - $100,000
JT	AZ State Employees Credit Union	Vehicle loan	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Edward L. Pastor

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Assn of Airport Executives	Jan 7-11	Phx, AZ - Maui - Phx	Y	Y	Y	N/A
AFL-CIO Maritime Trade Dept	Feb 9	Phx, AZ - Los Angeles - Phx	N	N	N	N/A
US-Mexico Cultural & Educational Foundation	Feb 18-21	Phx, AZ - Mexico City - Phx	Y	Y	Y	N/A
Aspen Institute	Mar 9-11	Wash., DC - Greenbriar, W.Va. - WDC	Y	Y	Y	N/A
Laborers' Union of North America	Apr 18-19	Wash.,DC - San Antonio - WDC	Y	Y	N	N/A
BNFL Instruments LTD	May 27 - June 1	Wash.,DC - Chester,UK - Phx, AZ	Y	Y	Y	N/A
Assn of American Railroads	Jul 6-9	Phx - Jackson Hole, WY - Phx	Y	Y	Y	N/A
Committee on Appropriations	Aug 28-29	Phx - Albuquerque - Phx	Y	Y	N	N/A
IMPAC 2000	Dec 14-16	Phx - Carefree, AZ - Phx	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Edward L Pastor

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member	Congressional Hispanic Caucus, Washington, DC
Member	Congressional Hispanic Caucus Institute, Washington, DC
Boardmember	National Association of Latino Elected Officials (N.A.L.E.O.), Washington, DC
Boardmember	Neighborhood Housing Services of America, Oakland, CA

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Ronald E. Paul
(Full Name)

2422 Bluewater Highway
(Mailing Address)

Surfside, TX 77541

Daytime Telephone: 979.265.3034

Filer Status	[X] Member of the U.S. House of Representatives — State: Texas District: 14	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the report ng period? **If yes, complete and attach Schedule I.**		X
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**		X
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	X	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	X	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**		X
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**		X
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**		X
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	X	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**		X

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ron Paul	5-13-02

3924

Name Ronald E. Paul

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A	SP	DC	JT	Block B	Block C	Block D	Block E
				A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
Examples:	SP			Mega Corp. Stock			
		DC		Simon & Schuster	Indefinite; X; Royalties	X	P
			JT	1st Bank of Paducah, KY accounts	X	X	
56 Flag Lake Plaza Lake Jackson, TX				X	X; X	X	S
Swim-Ten, Inc.-Lake Jackson, TX-Recreational					X; Sub S Corporation	X; X	
40 acres farmland, Hwy 332, LJ, TX (CaronaLtd)					X; Partnership Income	X	
58 Flag Lake Plaza LJ, TX (CARR Ltd)					X; Partnership Income	X	
Dundee Bancorp Inc Class A Common Stock				X	X	X	
Vista Gold Corp Common Stock				X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ronald E. Paul

Page 3 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENTS	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction: P, S, E
	Newmont Corp Common Stk			X										X									X									
	Goldcorp Inc Class A Stk				X									X							X											
	TVX Gold Inc. Common Stock			X										X							X											
	WMC Limited Common Stock				X									X									X									
	Agnico Eagle Mines Ltd CS				X									X							X											
	Echo Bay Mines Ltd Common			X										X								X										
	Battle Mtn Gold Common Stk			X										X							X											
	Homestake Mining Co Common				X									X									X									
	Placer Dome Inc Common Stk				X									X								X										
	Barrick Gold Corp Common Stk						X							X								X										
	Glamis Gold Ltd Common Stk			X										X							X											
	Kinross Common Stock				X									X							X											
	Franco Nevada Common Stock					X								X							X											
	Freeport McMoran Copper & Gold Inc Step-up conv. Preferred Shares				X									X										X								
	Rydex-Ursa Mutual Fund 9601 Blackwell Rd #500 Rockville, MD				X									X							X											
	Oppenheimer Real Asset Mutual Fund, PO Box 5270 Denver, CO			X										X							X											

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3926

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ronald E. Paul

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction (P, S, E)
		A None; B $1 - $1,000; C $1,001 - $15,000; D $15,001 - $50,000; E $50,001 - $100,000; F $100,001 - $250,000; G $250,001 - $500,000; H $500,001 - $1,000,000; I $1,000,001 - $5,000,000; J $5,000,001 - $25,000,000; K $25,000,001 - $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; DONALDSON BLIND TRUST; Other Type of Income (Specify)	I None; II $200 - $200; III $201 - $1,000; IV $1,001 - $2,500; V $2,501 - $5,000; VI $5,001 - $15,000; VII $15,001 - $50,000; VIII $50,001 - $100,000; IX $100,001 - $1,000,000; X $1,000,001 - $5,000,000; XI Over $5,000,000	
	Rydex Dynamic Venture Mutual Fund 9601 Blackwell Rd #500 Rockville, MD	D X	DIVIDENDS X	I X	
	Mutual Securities Inc. (formerly listed as Alliance Treasury Reserves) PO Box 260208 Encino, CA 91426	F X	INTEREST X	IV X	

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3927

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ronald E. Paul

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Prudent Bear Mutual Fund																															
	8140 Walnut Hill Ln #405																															
	Dallas, TX			X										X								X										
	Pegasus Gold Inc. Common	X												X							X	(Defunct stock)										
	Amax Gold Inc Common Stk	X												X							X	(Defunct stock)										
	Condominium, 5300 Holmes																															
	Run Pkwy, Alexandria VA						X													NONE	X											
	Acreage - 9 B.T. Archer																															
	Lots 70-72, 30-33, 49																															
	Oyster Creek, TX					X														NONE	X											
	Coins - Semi-numismatic						X													NONE	X											
	First National Bank of LJ																															
	Defined Benefit Account					X										X									X							
	First National Bank of LJ																															
	LJ, TX Savings						X									X									X							
	Congressional Federal																															
	Credit Union , Wash DC			X												X							X									
	Texas Dow Employees Credit																															
	Union, LJ, TX						X									X									X							
	Texas Gulf Bank, N.A.																															
	Lake Jackson, TX					X										X									X							

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3928

Name Ronald E. Paul

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	A $1 Dollar–$15,000	B $15,001–$50,000	C $50,001–$100,000	D $100,001–$250,000	E $250,001–$500,000	F $500,001–$1,000,000	G $1,000,001–$5,000,000	H $5,000,001–$25,000,000	I $25,000,001–$50,000,000	J Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10–12–01		X								
	56 Flag Lake Plaza, Lake Jackson, TX		X		11-26-01				X						

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Name Ronald E. Paul

SCHEDULE IV — TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	56 Flag Lake Plaza, Lake Jackson, TX		X		11-26-01				X						
	Pegasus Gold Inc. Common Stock														
	Amax Gold Inc. Common Stock														

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President	Ronald E. Paul, M.D. Association
President	Swim-Ten, Inc.
Partner	Carona Limited
Partner	CARR, Ltd.
Honorary Chairman	Foundation for Rational Economics and Education, Inc.
Honorary Chairman	The Liberty Committee

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (max)

Use additional sheets if more space is required.

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2002 MAY 15 PM 6:43

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Donald Milford Payne
(Full Name)

21 Bock Avenue Newark, NJ 07112
(Mailing Address)

(202) 225-3436
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: NJ, District: 10	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $200 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Donald M Payne	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Donald Mikford Payne

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Wachovia	$15,001 - $50,000	Dividends	$2,501 - $5,000	
	19 Bock Avenue, Newark, New Jersey	$100,001 - $250,000	Rent	$5,001 - $15,000	
	Merck & Co. Stock	$15,001 - $50,000	Dividends	$201 - $1,000	
	Copeland Co. Pension Plan	$50,001 - $100,000	Pension	NONE	
	Smith Barney Shearson IRA	$100,001 - $250,000	IRA	NONE	
	Easy Line Services	$1 - $1,000	Dividends	NONE	

SCHEDULE IV - TRANSACTIONS

Name Donald Milford Payne

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Wachovia	S	9-17-01	$1,001 - $15,000
	Easy Line Services	S	9-17-01	$1,001 - $15,000
	Prudential	P	12-18-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Donald Milford Payne

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Independence Community Bank, Newark, New Jersey	Mortgage on 19 Bock Avenue	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Donald Milford Payne

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $200 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Airlines, Microsoft	March 15-16, 2001	Washington, D.C. - San Francisco-Washington, D.C.	Y	Y	Y	None
Botswana Confederation of Commerce, Industry and Manpower	April 7-13, 2001	Washington, D.C. - Botswana-Washington, D.C.	Y	Y	Y	None
Aspen Institute	May 20 - June 3, 2001	Washington, D.C. - Florence - Washington, D.C.	Y	Y	Y	None
Aspen Institute	August 19 - 26, 2001	Washington, - Helsinki - Washington, C.C.	Y	Y	Y	None
Carib News	October 18-21	Washington, D.C. - Grenada-Washington, D.C.	Y	Y	N	None

SCHEDULE VIII - POSITIONS

Name Donald Milford Payne

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Newark Boys' and Girls' Clubs
Borad of Directors	Newark Day Center
Board of Directors	Newark YMWCA
Board of Directors	Congressional Black Caucus Foundation
Board of Directors	Newark Fighting Back Initiatives
Board of Directors	National Endowment for Democracy
Board of Directors	Discovery Channel Foundation
Board of Directors	Enterprise Works

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 13 AM 11:59
(Office Use Only)

Donald Milford Payne
(Full Name)

21 Bock Avenue Newark, NJ 07112
(Mailing Address)

(202) 225-3436
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: NJ District: 10	☐ Officer Or Employee — Employing Office:
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

7

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Donald M Payne	June 12, 2002

3938

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Donald Milford Payne

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for Income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
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	Copeland Co. Pension Plan	$50,001 - $100,000	Pension	NONE	
	Smith Barney Shearson IRA	$100,001 - $250,000	IRA	NONE	
	Easy Line Services	$1 - $1,000	Dividends	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Donald Milford Payne

	Prudential Stock	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name Donald Milford Payne

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
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	Easy Line Services	S	9-17-01	$1,001 - $15,000
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SCHEDULE V - LIABILITIES

Name Donald Milford Payne

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SP, DC, JT	Creditor	Type of Liability	Amount of Liability
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SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Donald Milford Payne

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Airlines, Microsoft	March 15-16, 2001	Washington, D.C. - San Francisco-Washington, D.C.	Y	Y	Y	None
Botswana Confederation of Commerce, Industry and Manpower	April 7-13, 2001	Washington, D.C. - Botswana-Washington, D.C.	Y	Y	Y	None
Aspen Institute	May 29-June 3, 2001	Washington, D.C. - Florence - Washington, D.C.	Y	Y	Y	None
Aspen Institute	August 19 - 26, 2001	Washington, - Helsinki - Washington, C.C.	Y	Y	Y	None
Carib News	October 18-21	Washington, D.C. - Grenada-Washington, D.C.	Y	Y	N	None

SCHEDULE VIII - POSITIONS

Name Donald Milford Payne

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Newark Boys' and Girls' Clubs
Borad of Directors	Newark Day Center
Board of Directors	Newark YMWCA
Board of Directors	Congressional Black Caucus Foundation
Board of Directors	Newark Fighting Back Initiatives
Board of Directors	National Endowment for Democracy
Board of Directors	Discovery Channel Foundation
Board of Directors	Enterprise Works

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

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3945

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Nancy Pelosi
(Full Name)

235 Montgomery Street San Francisco, CA 94104
(Mailing Address)

415-788-8600
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 08	☐ Officer Or Employee	Employing Office:

Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

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Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Nancy Pelosi	May 15, 2002

SCHEDULE I - EARNED INCOME

Name Nancy Pelosi

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Nancy Pelosi	None	N/A
Financial Leasing	Spouse Salary	N/A
Fairfield Associates	Spouse Management Fee	N/A
Isolep Enterprises	Spouse Management Fee	N/A
Yerac Associates	Spouse Management Fee	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Nancy Pelosi

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
None			

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	1600 Atlas Peak Road, Napa, CA - Real Estate Investment	$250,001 - $500,000	Rent	$15,001 - $50,000	N/A
SP	235 Twelve Inc. LLC - Common Stock	$100,001 - $250,000	NONE	NONE	P
SP	25 Point Lobos, San Francisco - Commecial Property	$1,000,001 - $5,000,000	RENT	$100,001 - $1,000,000	N/A
SP	2Way Corp. - Common Stock	None	CAPITAL GAINS	$15,001 - $50,000	S
JT	3030 K Street, N.W. Washington, DC - Change from Rental Property to personal residence	$1,000,001 - $5,000,000	NONE	NONE	E

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	45 Belden Place, San Francisco, CA - Four story commerical Building	$1,000,001 - $5,000,000	RENT	$100,001 - $1,000,000	N/A
JT	723 Mule Ears Court Norden, CA - Townhome	$1,000,001 - $5,000,000	NONE	NONE	P
SP	Access Technologies LP	$100,001 - $250,000	CAPITAL GAINS	$15,001 - $50,000	N/A
SP	Accompany, Inc. - Common Stock (See MobShop)	$15,001 - $50,000			
SP	Adaytum Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Advanced Fiber Communications - Public Common Stock	$50,001 - $100,000	CAPITAL GAINS	$15,001 - $50,000	S Partial
SP	Affiliated Research Centers (See Americas Doctor. Com)				
SP	Agile Software Corp. - Public Common Stock	$50,001 - $100,000	NONE	NONE	N/A
JT	Alpine Place - Alpine Meadows, CA - Condominium Apartment	$500,001 - $1,000,000	NONE	NONE	N/A
SP	Alter Ego - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Alza Corp. - Public Common Stock (See Johnson & Johnson)				
SP	America Online, Inc. - Public Common Stock	$50,001 - $100,000	NONE	NONE	N/A
SP	Americas Doctors. Com (Formerly Affiliated Research Centers, Inc. - Common Stock)	$1,001 - $15,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	Aplion, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Apogee Networks, Inc. - Common Stock	$50,001 - $100,000	NONE	NONE	P increased Investment
SP	Aristotle Publishing, Inc. Common Stock	$50,001 - $100,000	NONE	NONE	Increased Investment
SP	Ashlar, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Atipa Fund B - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Attenza, LLC - Common Stock (Formerly Service911)	$50,001 - $100,000	NONE	NONE	P
SP	Auberge du Soleil, Rutherford, CA - Owns resort hotel	$1,000,001 - $5,000,000	Dividents/Rent	$100,001 - $1,000,000	N/A
SP	Avaya - Public Common Stock	$1 - $1,000	NONE	NONE	E
SP	Bank of America, San Francisco, CA	$15,001 - $50,000	Interest	$1 - $200	N/A
SP	Bank of America, Washington, DC	$15,001 - $50,000	Interest	$201 - $1,000	N/A
SP	Beacon Education Management - Common Stock	$50,001 - $100,000	NONE	NONE	P
SP	BF Enterprises - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Biz360, Inc. - Common Stock	$1,001 - $15,000	NONE	NONE	Increased Investment
SP	BizFon, Inc. - Common Stock	$1,001 - $15,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name: Nancy Pelosi

SP	Borel Estate Company - Owns shopping center	$100,001 - $250,000	Rent/Interest	$15,001 - $50,000	N/A
SP	Briazz - Public Common Stock	$1 - $1,000	NONE	NONE	P
SP	Bridge Path, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Bright Link, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Broadcom Corp. - Public Common Stock	$1 - $1,000	NONE	NONE	N/A
JT	Broadway Property, San Francisco, CA - Real Estate Option	$1,000,001 - $5,000,000	NONE	NONE	N/A
SP	Calico Commerce - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Chalone Wine Group, Ltd. - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Cierra Photonics - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Cisco Systems, Inc. - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	CMGI, Inc. - Common Stock (Formerly Adforce)	$1,001 - $15,000	NONE	NONE	N/A
SP	Collab.Net - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Collaborative Group, Ltd - Common Stock	None	CAPITAL GAINS	$5,001 - $15,000	S
SP	Command Audio - Common Stock	$15,001 - $50,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	Commerce One, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
JT	Congressional Credit Union, Washington, DC	$15,001 - $50,000	Interest	$201 - $1,000	N/A
SP	Conscium, Inc. - Common Stock	None	CAPITAL GAINS	$15,001 - $50,000	S
SP	CopperCom, Inc. - Common Stock	$100,001 - $250,000	NONE	NONE	P Increased Investment
SP	Covalent Technologies - Common Stock	$15,001 - $50,000	NONE	NONE	P Increased Investment
SP	Covia Technologies - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Critical Path Inc. -Public Common Stock	$50,001 - $100,000	NONE	NONE	Increased Investment
SP	Crossworlds Software - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Currenex - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Digital Fountain - Common Stock	$15,001 - $50,000	NONE	NONE	Increased Investment
SP	eBenefits, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	EDI Associates, Mill Valley, CA - Hotel Investment	$250,001 - $500,000	Dividends/Rent	$50,001 - $100,000	N/A
SP	EMAX - Common Stock (AKA - SciQuest)	$1,001 - $15,000	NONE	NONE	N/A
SP	Ememes, LLC - Common Stock (See MemeStreams)				

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name - Nancy Pelosi

SP	Emulex - Public Common Stock (Formerly known as Giganet)	$50,001 - $100,000	NONE	NONE	N/A
SP	Engage, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Eventsource, LLC - Common Stock (AKA Procure Point Travel Solutions)	$15,001 - $50,000	NONE	NONE	N/A
SP	FastNet - Common Stock (Formerly: You Tools)	$15,001 - $50,000	NONE	NONE	N/A
SP	Financial Leasing Services, S.F., CA - Investment Company	$100,001 - $250,000	N/A	NONE	N/A
SP	Forcenergy - Public Common Stock	$1 - $1,000	NONE	NONE	N/A
SP	Forty-Five Belden Corp., S.F., CA - Investment Company	$500,001 - $1,000,000	Dividends	$100,001 - $1,000,000	N/A
SP	Frontline - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	FX Trades.com - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Getty Images, Inc. - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	GigaNet, Inc. - Common Stock (See Emulex, Inc.)				
SP	Granite Ventures, LP	$50,001 - $100,000	NONE	NONE	N/A
SP	Guru.Com - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	iBiquity Digital Corp. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	iGeneration, Inc. -Common Stock	None	CAPITAL GAINS	$1,001 - $2,500	S
SP	iKnowMed Systems, Inc.	$1,001 - $15,000	NONE	NONE	N/A
SP	Infospace, Inc. - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Interloci, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Internap Network Services, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	P
SP	Internet Cap. Group - Public Common Stock	$1 - $1,000	NONE	NONE	P
SP	Intraop, LLC - Common Stock (AKA Intraop Medical Inc.)	$50,001 - $100,000	NONE	NONE	N/A
SP	Isochron, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Japan Partners - Common Stock	$50,001 - $100,000	NONE	NONE	N/A
SP	Johnson & Johnson - Public Common Stock (Previously Alza Corp.)	$100,001 - $250,000	NONE	NONE	E
SP	Learning Technologies, Inc. - Common Stock (Formerly Sera Technologies)	$1,001 - $15,000	NONE	NONE	N/A
SP	LEG Partners, III, L.P. - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Liberate Technologies - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Lions Gate Limited Partnership (Cordavalle) - Golf Resort	$500,001 - $1,000,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name: Nancy Pelosi

SP	Lucent Technologies - Public Common Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	N/A
SP	LuxN, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	Increased Investment
SP	McGrath Rentcorp. Inc. - Public Common Stock	$500,001 - $1,000,000	DIVIDENDS/CAPITAL GAINS	$100,001 - $1,000,000	S Partial
SP	MemeStreams - Common Stock	$15,001 - $50,000	NONE	NONE	P
SP	Mob Shop - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	MontaVista, LLC - Common Stock (AKA MontaVista Software)	$15,001 - $50,000	NONE	NONE	Increased investment
SP	Mosher Partners, LP, Sacramento, CA - Real Estate Partnership	$500,001 - $1,000,000	NONE	NONE	N/A
SP	My Prime Time Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	P
SP	Natelli Communities, (Formerly PIA-Natelli Communities)	$250,001 - $500,000	PARTNERSHIP INCOME	$100,001 - $1,000,000	N/A
SP	Nautilus Leasing Services - Container leasing company	$50,001 - $100,000	NONE	NONE	N/A
SP	Navis Holdings, LLC - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Net2Phone, Inc. - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	NetClerk, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	Increased Investment
SP	NetSchools Corp. - Common Stock	$1,001 - $15,000	NONE	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	Nexsi, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Niku Corp. - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Niman Ranch - Common Stock	$15,001 - $50,000	NONE	NONE	P
SP	Nine Forty Five Battery, LLC, San Francisco, CA - Real Estate Partnership	$1,000,001 - $5,000,000	RENT	$100,001 - $1,000,000	N/A
SP	Nine Hundred One Battery, San Francisco, CA - Real Estate Partnership	$15,001 - $50,000	RENT	$5,001 - $15,000	N/A
SP	Ninth House Network Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Oakwood Homes Corp - Public Common Stock	$50,001 - $100,000	NONE	NONE	N/A
SP	Oakwood Homes Corp. - Bonds	$500,001 - $1,000,000	INTEREST	$50,001 - $100,000	N/A
SP	Odyssey, LLC - Common Stock	$50,001 - $100,000	NONE	NONE	N/A
SP	Olliance LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Online Tool & Equipment Corp (OnTool) - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Orlimar, LLC - Common Stock	$50,001 - $100,000	NONE	NONE	Increased Investment
SP	Pacific Island Resources, LLC - Common Stock	$250,001 - $500,000	NONE	NONE	P
SP	Pensare, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name- Nancy Pelosi

SP	PG & E - Public Stock	None	CAPITAL GAINS	$15,001 - $50,000	PS
SP	Piatti Restaurant Co., Tiburon, CA - Restaurant Operating Company	$1,000,001 - $5,000,000	PARTNERSHIP INCOME	$50,001 - $100,000	N/A
SP	Picture IQ Corp. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Plumtree Software, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
Sp	Potomac Investment Assoc, Gathersberg, MD - Real Estate Partnership	$50,001 - $100,000	CAPITAL GAINS	$15,001 - $50,000	N/A
SP	QIC (Quinton Instrument Company) - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	QualComm, Inc. - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Qusion Technologies, LLC - Common Stock	$50,001 - $100,000	NONE	NONE	P
SP	Rainmaker Systems, Inc. - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Ravenswood Winery, Inc. - Public Common Stock	None	CAPITAL GAINS	$15,001 - $50,000	S
SP	Read-Rite Corp., Inc. - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	ReadyRouter - Common Stock	$250,001 - $500,000	NONE	NONE	P
SP	Recommender 2 - Common Stock	$50,001 - $100,000	NONE	NONE	N/A
SP	REOF v - Real Estate Partnership	$100,001 - $250,000	Rents	$15,001 - $50,000	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	Robert Half Intl., Inc. - Public Common Stock	$250,001 - $500,000	NONE	NONE	N/A
SP	Salesforce.com, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Salon.com - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Service 911 - Common Stock (See Attenza)				
SP	Shutterfly - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Simplexis.Com - Common Stock	$1,001 - $15,000	NONE	NONE	N/A
JT	Skellenger Lane, Napa, CA - Vineyard and homesite	$1,000,001 - $5,000,000	Vineyard	$100,001 - $1,000,000	N/A
SP	Slam Dunk Networks, Inc.	$15,001 - $50,000	NONE	NONE	P Increased Investment
SP	Sonus Networks Inc. - Public Common Stock	$1,001 - $15,000	NONE	NONE	P
SP	Speakeasy, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	Increased investment
SP	Spirian, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Stairmaster Sports/Medical Products Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Stoneridge, LLC	$500,001 - $1,000,000	NONE	NONE	N/A
SP	Sun Microsystems - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	Support Inc. - Common Stock	$1,001 - $15,000	NONE	NONE	P
SP	Tellabs, Inc. - Public common stock	$50,001 - $100,000	NONE	NONE	N/A
SP	TeraOp, LLC - Common Stock	$15,001 - $50,000	NONE	NONE	P
SP	TeraStor Corp. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Thirteen Hundred One Sansome, LLC - Real Estate Partnership	$1,000,001 - $5,000,000	RENT	$100,001 - $1,000,000	N/A
SP	Tivium Systems, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Tripath Technology, Inc. - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A
SP	Trux Gate Associates Ltd. - Real Estate Partnership	$250,001 - $500,000	NONE	NONE	N/A
SP	Union Bank of California, San Francisco, CA - savings account	$1,001 - $15,000	Interest	$1 - $200	N/A
SP	Vanguard Airlines, Inc. - Public Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Vignette Corp. - Public Common Stock	None	CAPITAL GAINS	$100,001 - $1,000,000	S
JT	Wells Fargo Bank, San Francisco, CA - savings account	$15,001 - $50,000	INTEREST	$1 - $200	N/A
SP	Witness Sys, Inc. - Public Common Stock	$1,001 - $15,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Nancy Pelosi

SP	Xtreme Spectrum, Inc. - Common Stock	$15,001 - $50,000	NONE	NONE	N/A
SP	Yantra Corp. - Common Stock	$50,001 - $100,000	NONE	NONE	N/A
SP	Yerac Associates - Investments	$250,001 - $500,000	NONE	NONE	N/A
JT	Zinfandel Lane, St. Helena, CA Vineyard and residences	$5,000,001 - $25,000,000	Vineyard	$100,001 - $1,000,000	N/A

SCHEDULE IV - TRANSACTIONS

Name Nancy Pelosi

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Aristotle Publishing - Common Stock	P	03/16/02	$15,001 - $50,000
SP	Attenza, LLC - Common Stock	P	10/18//01	$15,001 - $50,000
SP	Advanced Fibre - Public Common Stock	S	01/31/01	$100,001 - $250,000
SP	Apogee Networks, Inc. - Common Stock	P	03/27/01	$50,001 - $100,000
SP	Avaya - Public Common Stock (Distribution from Lucent Technology)	E	01/02/01	$1,001 - $15,000
SP	Beacon Education Management - Common Stock	P	04/17/01	$15,001 - $50,000
SP	Briazz - Public Common Stock	P	5/02/01	$1,001 - $15,000
SP	Biz 360 - Common Stock	P	10/16/01	$1,001 - $15,000
SP	Collaborative Group Ltd. - Public Common Stock	S	01/02/01	$1,001 - $15,000
SP	Covalent Technologies - Common Stock	P	12/27/01	$15,001 - $50,000
SP	Conscium - Common Stock	S	12/31/01	$15,001 - $50,000
SP	CopperCom, Inc. - Common Stock	P	05/03/01	$100,001 - $250,000

SCHEDULE IV - TRANSACTIONS

Name Nancy Pelosi

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Critical Path - Public Common Stock	P	09/21/01	$15,001 - $50,000
SP	Digital Fountain - Common Stock	P	11/02/01	$15,001 - $50,000
SP	Internap Network Services - Public Common Stock	P	09/04/01	$1,001 - $15,000
SP	Internet Cap. Group - Public Common Stock	P	01/15/01	$1,001 - $15,000
SP	iGeneration, Inc. - Common Stock	S	12/31/01	$1,001 - $15,000
SP	Johnson & Johnson - Public Common Stock (Exchanged in merger with Alza Corp)	E	06/27/01	$100,001 - $250,000
SP	LuxN - Common Stock	P	01/09/01	$15,001 - $50,000
SP	McGrath RentCorp - Public Common Stock	S	02/01/01	$100,001 - $250,000
SP	McGrath Rent Corp - Public Common Stock	S	12/31/01	$100,001 - $250,000
SP	MemeStreams - Common Stock	P	02/06/01	$15,001 - $50,000
SP	MontaVista - Common Stock	P	12/07/01	$1,001 - $15,000
SP	My Prime Time - Common Stock	P	08/31/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Nancy Pelosi

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	NetClerk, Inc. - Common Stock	P	01/19/01	$1,001 - $15,000
SP	NetSchools Corp. - Common Stock	P	08/14/01	$1,001 - $15,000
SP	Niman Ranch - Common Stock	P	04/26/01	$15,001 - $50,000
SP	Orlimar, LLC - Common Stock	P	03/16/01	$15,001 - $50,000
SP	Pacific Island Resources, LLC - Investment	P	08/21/01	$250,001 - $500,000
SP	PG & E - Public Common Stock	P	02/09/01	$1,000,001 - $5,000,000
SP	PG & E - Public Common Stock	S	07/06/01	$1,000,001 - $5,000,000
SP	Qusion Technologies LLC - Common Stock	P	03/09/01	$50,001 - $100,000
SP	Ravenswood Winery, Inc. - Public Common Stock	S	07/10/01	$15,001 - $50,000
SP	Ready Router1, LLC - Common Stock	P	01/22/01	$15,001 - $50,000
SP	Speakeasy, Inc. - Common Stock	P	03/16/01	$1,001 - $15,000
SP	Slam Dunk - Common Stock	P	02/07/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Nancy Polosi

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Sonus Networks - Public Common Stock	P	03/09/01	$1,001 - $15,000
SP	Support Inc. - Public Common Stock	P	1/12/01	$1,001 - $15,000
SP	TeraOp LLC - Common Stock	P	05/04/01	$15,001 - $50,000
SP	Vignette Corp - Public Common Stock	S	01/02/01	$100,001 - $250,000
SP	2 Way Corp - Common Stock	S	12/31/01	$15,001 - $50,000
SP	235 Twelve Inc. LLC - Common Stock	P	01/17/01	$100,001 - $250,000
JT	3030 K Street, NW Washington, DC Changed from rental property to personal residence	E	01/15/01	$1,000,001 - $5,000,000
JT	723 Mule Ears Court Norden, CA Townhome	P	12/01/01	$1,000,001 - $5,000,000

SCHEDULE V - LIABILITIES

Name Nancy Pelosi

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Bank of America	Mortgage on 3030 K Street, Washington,	$1,000,001 - $5,000,000
JT	Bank of America	Mortgage on 2555 Pennsylvania Avenue, Washington, DC	$250,001 - $500,000
JT	Bank of America	Mortgage on 11 Zinfandel Lane, St. Helena, CA	$1,000,001 - $5,000,000
SP	First Union	Mortgage on 25 Point Lobos Avenue, San Francisco, CA	$1,000,001 - $5,000,000
JT	Placer Sierra Bank	Mortgage on 19 Alpine Place, Tahoe City, CA	$50,001 - $100,000
SP	Wells Fargo Bank	Mortgage on 45 Belden Place, San Francisco, CA	$500,001 - $1,000,000
JT	World Savings	Mortgage on 1600 Atlas Peak Road, Napa, CA	$100,001 - $250,000
SP	Bank of America	Line of Credit	$1,000,001 - $5,000,000
SP	Union Bank of California	Investment Loan	$1,000,001 - $5,000,000
JT	Union Bank of California	Mortgage on 723 Mule Ears Court, Nordan, CA	$1,000,001 - $5,000,000
SP	JP Morgan	Margin Account	$1,000,001 - $5,000,000

SCHEDULE VI - GIFTS

Name Nancy Pelosi

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
None		

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Nancy Pelosi

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Faith and Politics Institute	Mar 3-4, 2001	Wash., DC-Alabama, Wash., DC	Y	Y	Y	No
Todo Puerto Rico Con Vieques	Jul. 14-16, 2001	Wash., D.C.0 Vieques, Puerto Rico - Wash., D.C.	Y	Y	N	No

SCHEDULE VIII - POSITIONS

Name: Nancy Pelosi

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	National Italian American Foundation
Board of Directors	United States Botanical Garden

SCHEDULE IX - AGREEMENTS

Name Nancy Patout

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

9 LEGISLATIVE RESOURCE CEN
2002 MAY 14 PM 2:03
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC

Michael Richard Pence
(Full Name)

1605 Longworth House Office Building
(Mailing Address)

Washington DC 20515 — 202-225-3021
(Daytime Telephone)

Filer Status: [X] Member of the U.S. House of Representatives — State: INDIANA District: SECOND — [ ] Officer or Employee — Employing Office:

Report Type: [X] Annual (May 15) — [ ] Amendment — [ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [X]	No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ]	No [X]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [ ]	No [X]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [ ]	No [X]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [X]	No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [X]	No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [ ]	No [X]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ]	No [X]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [X]	No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ]	No [X]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ]	No [X]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	C. Phil Pence	5-13-02

3970

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Immanuel Christian School	spouse salary	NA
	Self-Employed Artist	spouse income	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
none			

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Name Michael Richard Pence Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	P, S, E
SP, DC, JT — *Examples:* SP — Mega Corp. Stock		X	X	X	P
Indefinite — Simon & Schuster			Royalties	X	
1st Bank of Paducah, KY accounts		X		X	
JT — Promissory Note to Chris Nelson		X	X		
JT — Promissory Note to Chris Nelson		X		X	
Emmis Communications Corp. 401(k)		X	X	X	
Kiel Bros. Oil Co. Inc.		X	Sub-S	X	
KP Oil, Inc. (stock)		X	X	X	
DC — Central IN Sch. Grp. FCU	X		X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael Richard Pence

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	DWELLING BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
DC	Central IN Sh. Grp. FCU		X													X						X										
DC	Central IN Sh. Grp. FCU		X													X						X										

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3974

SCHEDULE IV — TRANSACTIONS

Name Michael Richard Pence | Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10-12-01		X								
	none														

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	B $10,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Shell Platinum Master Card	revolving credit card		X								
JT	First Virginia Master Card	revolving credit card		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	none	

Use additional sheets if more space is required.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 8–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	none						

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
partner	MCI / Dawson, Indpls, IN.
officer	Hoosier Conservative, Inc., Indpls, IN

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	none	

GPO: 2002 — 77-791 (#40)

Use additional sheets if more space is required.

HAND DELIVERED

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LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 4:08

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees

Collin C. Peterson
(Full Name)

26192 Floyd Lake Point Road Detroit Lakes, MN 56501-7607
(Mailing Address)

202-225-2165
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: MN District: 07	☐ Officer Or Employee — Employing Office:	**A $200 penalty shall be assessed against anyone who files more than 30 days late.**
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $280 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $280 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

SCHEDULE I - EARNED INCOME

Name Collin C. Peterson

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Hall for Congress	Musician Fee	$350
AAHP	Musician	$125

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Collin C. Peterson

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Peterson Fox, Inc. - common stock	$50,001 - $100,000	common stock	NONE	
	Lakeland Estates, Inc. - notes/common stock	$15,001 - $50,000	interest, capital gains	NONE	
	Lakewest Properties - partnership	$15,001 - $50,000	Rent	$5,001 - $15,000	
	Bekkerus Schott & Co. - contract	$50,001 - $100,000	interest, capital gains	$5,001 - $15,000	
	Technimar Industries, Inc.- stock	None	common stock /DIVIDENDS	NONE	S
	Cisco Systems	$1 - $1,000	DIVIDENDS	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Collin C. Peterson

	Lucent Technologies - Options	None		NONE	S
	AMR Corp	$1 - $1,000	DIVIDENDS	NONE	
	Soverign Bancorp	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name Collin C. Peterson

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Cisco Systems	S	02-12-01	$1,001 - $15,000
	Technimar Industries, Inc	Other	01-31-01	Worthless

SCHEDULE V - LIABILITIES

Name Collin C. Peterson

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Peterson Fox, Inc. 50% ownership	demand loan created when the stock was issued 1/1/90	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Collin C. Peterson

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Nebraska Community Foundation	Jan 5-7	Msp-Kearney, NE -Detroit Lakes, MN	Y	Y	N	N/A
Safari Club International	Jan 11-14	Wash.,D.C.-Las Vegas-Wash., D.C.	Y	Y	N	N/A
National Wild Turkey Federation	Feb 15-18	Wash., D.C.-Columbus-Chicago-MSP	Y	Y	N	1 day
Congressional Sportsmen Foundation	Mar 16-17	St. Cloud-Osceola-St. Cloud	Y	Y	N	N/A
American Federation of Musicians	June 23-25	Msp-Las Vegas-Wash., D.C.	Y	Y	N	N/A
Montana Woolgrowers Ass'n	Nov 30-Dec 1	Msp-Billings-Fargo	Y	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 APR 26 PM 2:28
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC (Office Use Only)

(11)

THOMAS E. PETRI
(Full Name)
N5329 DeNeveu Lane
(Mailing Address)
Fond du Lac, Wisconsin 54935
920-922-1180
Daytime Telephone:

Filer Status	[✓] Member of the U.S. House of Representatives	State: WISCONSIN District: 6TH	[ ] Officer or Employee	Employing Office:
Report Type	[✓] Annual (May 15)	[ ] Amendment	[ ] Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	[✓]	[ ]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	[✓]	[ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	[✓]	[ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	[✓]	[ ]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	[✓]	[ ]
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	[ ]	[✓]
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	[✓]	[ ]
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	[✓]	[ ]
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	[ ]	[✓]

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	[ ]	[✓]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	[ ]	[✓]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Th. E. Petri	April 26, 2002

3986

Name T.E. PETRI | Page 2 of 11

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	AMERICAN COUNCIL OF TRUSTEES AND ALUMNI	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name T. E. Petri | Page 3 of 11

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Associated General Contractors of America	Speech	March 23, 2001	$1,000

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3988

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded. In Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A		A None	B $1 - $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E
SP, DC, JT	Examples:	SP					X								X																		P
				Indefinite				X									X				Royalties						X			X			
	W. Sensible Retirement Fund						X								X		X	X				NA											P
	Strong Advisor Bond Fund				X												X	X				NA											P
	Strong High Yield Bond Fund						X										X	X				NA											P
	Janus Worldwide Fund							X							X		X	X				NA											P
	Janus Fund							X							X		X	X				NA											P
	AIM Fund (Growth)					X									X		X	X				NA											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name T. E. Petri

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Firstar Corp. Stock									X				X													X					E
	U.S. Bank Stock									X				X															X			E, S
	Am. Home Products Stock				X									X									X									P
	Am. Ewalers Stock					X								X									X									
	Walgreen Stock										X			X													X					
	Bandag, Stock					X								X										X								
	Associated Banks Stock			X										X								X										
	Dell Co. Stock			X										X								X										
	Halstall & Ilsley Stock								X					X											X							
	Northwest Mutual Life Ins.				X									X		X								X								
	Berkshire Hathaway Stock								X												X											P
	UAL Corp. Stock			X										X									X									S
	Lloyds of London					X										X	X								X							
	Hartford Life Cash Mtg. Mut.	X														X						X										
	Firstar Trusts, Cash		X													X						X										
	Firstar U.S. Treasury Fund					X										X								X								
	U.S. Treasury Bond					X										X					X											P
	AT&T Corp. Stock			X										X								X										E
	AT&T Wireless Stock			X																	X											E P
	Vodafone Airtouch				X									X								X										
	SBC Communications Stock					X								X										X								
	Bell South Stock				X									X									X									

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3990

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name T. E. Petri

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	LUCENT TECH, STOCK			X										X								X										
	NCR CORP, STOCK		X											X							X											
	SWIFT COMM., STOCK			X										X								X										
	EQUITAS TRUST				X																X											
	AVAYA INC., STOCK			X																	X											
	VERIZONE COMM., STOCK				X									X									X									
	RENTAL PROPERTY				X										X										X							
	ALLIANCE HIGH YIELD C	X												X											X							S
	INL PILGRIA HIGH YIELD C	X														X									X							S
	LORD ABBOTT BOND C							X								X											X					
	SOLOMON SMITH BARNEY CO BOND			X													X					X										
	PORTFOLIO EDITION			X										X								X										
	MR PACKAGING STOCK			X																	X											P
	CORNING CORP, STOCK				X																X											P

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SCHEDULE IV — TRANSACTIONS

Name T. E. Poole | Page 7 of 11

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Strong Advisor Bond Fund	X			IRA Dividend Reinvestment										
	Strong High-Yield Bond Fund	X			IRA Dividend Reinvestment										
	Janus Worldwide Fund	X			Y01 Dividend Reinvestment										
	Janus Fund	X			Y01 Dividend Reinvestment										
	AIM Fund Growth	X			9/01 Dividend Reinvestment										
	Firstar Core Stock			X	3/1/01							X			
	U.S. Bankcorp, Stock			X	3/1/01							X			
	U.S. Savings Bond	X			3/7/01		X								
	Air Packaging, Corp	X			3/12/01	X									
	Corning Inc, Stock	X			7/19/01	X									
	Corning Inc, Stock	X			10/5/01	X									
	American Home Products	X			7/13/01	X									
	AT&T, Stock			X	6/28/01	X									
	AT&T Wireless			X	6/28/01	X									
	AT&T, Stock			X	7/25/01	X									
	AT&T Wireless			X	7/25/01	X									

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3992

SCHEDULE IV — TRANSACTIONS

Name T. E. Powell

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	AT&T Wireless	X			12/04/01	X									
	Berkshire Hathaway	X			12/20/01				X						
	Alliance High Yield C		X		12/06/01			X							
	ING Pilgrim High Yield C		X		12/06/01		X								
	U.S. Bancorp		X		11/21/01			X							
	U.A.L. Corp., Stock.		X		6/18/01	X									

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability: B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	MERRILL LYNCH	LOAN SECURED BY STOCK							X			

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name T. E. Petri | Page 10 of 11

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(e)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Associated General Contractors	MAR. 23	Wash., D.C. - Nashville - Wash.	N	N	N	N
	American Public Transportation Assc.	OCT. 2	Wash, D.C.-Philadelphia-Wash.	N	Y	N	N

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3995

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PARTNER	LLOYD'S UNDERWRITING INSURANCE RISKS, LONDON, ENGLAND
DIRECTOR	SOCIETY INSURANCE (A MUTUAL COMPANY), FOND DU LAC, WISCONSIN

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(3) LEGISLATIVE RESOURCE CENTER
2002 MAY -9 PM 3:19
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

THOMAS E. PETRI
(Full Name)

N5329 DeNeveu Lane
(Mailing Address)
Fond du Lac, Wisconsin 54935

920-922-1180
Daytime Telephone

Filer Status	[x] Member of the U.S. House of Representatives — State: WISCONSIN District: 5th	[ ] Officer or Employee	Employing Office:
Report Type	[x] Annual (May 15)	[x] Amendment	[ ] Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes [x] No [ ]	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes [ ] No [x]
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes [x] No [ ]	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes [x] No [ ]
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes [x] No [ ]	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes [x] No [ ]
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes [x] No [ ]	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes [ ] No [x]
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes [x] No [ ]	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes [ ] No [x]
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes [ ] No [ ]

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas E. Petri	May 9, 2002

3997

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name T. E. Petri

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1,001 – $15,000	C $15,001 – $50,000	D $50,001 – $100,000	E $100,001 – $250,000	F $250,001 – $500,000	G $500,001 – $1,000,000	H $1,000,001 – $5,000,000	I $5,000,001 – $25,000,000	J $25,000,001 – $50,000,000	K Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	Firstar Corp. Stock	X											X													X				E
	U.S. Bank Stock									X			X															X		E, S
	Am. Home Products Stock				X								X									X								P, S
	Am. Express Stock					X							X									X								
	Walgreen Stock									X			X													X				
	Bankers Stock					X							X										X							
	Associated Bankers Stock		X										X																	
	Dell Co. Stock			X									X								X									
	Marshall & Ilsley Stock								X				X											X						
	Northwest Mutual Life Ins.				X								X		X								X							
	Berkshire Hathaway Stock							X												X			X							
	L.A.L. Corp. Stock			X									X									X								P, S
	Lloyds of London					X									X	X								X						
	Hoarle Lynch Cash Mgt. Acct.	X													X						X									
	Firstar Trusts, Cash		X												X						X									
	Firstar U.S. Treasury Fund					X									X								X							
	U.S. Treasury Bond					X									X					X										P
	AT&T Corp. Stock			X									X								X									E
	AT&T Wireless Stock			X																X										E, P
	Vodafone Airtouch				X								X								X									
	SBC Communications Stock					X							X										X							
	Bell South Stock				X								X									X								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name T. E. Potter

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction
	LUCENT TECH, STOCK			X										X								X										
	NCR CORP., STOCK		X											X							X											
	QWEST COMM., STOCK			X										X								X										
	EQUITAS TRUST				X																X											
	AVAYA INC., STOCK			X																	X											
	VERIZON COMM., STOCK				X									X									X									
	RENTAL PROPERTY				X										X										X							
	ALLIANCE HIGH YIELD C	X												X											X							SS
	ING PILGRIM HIGH YIELD C	X														X									X							
	LORD ABBOTT BOND C							X									X										X					
	SOLOMON SMITH BARNEY CA BOND			X														X														
	PORTING-EUTOR			X										X								X										
	AIRPACKAGING STOCK				X																X											PP
	CORNING CORP, STOCK					X															X											
X	NSSB DeNuevo CA Fund ou Cap, MASC.																															

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER (6)
2002 MAY 15 AM 10: 04
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

DAVID D. PHELPS
(Full Name)

35 DEWEY ROAD
ELDORADO, IL 62930
(Mailing Address)

(618)273-3214
Daytime Telephone:

EARON S. WOLAVER, CPA

Filer Status	[X] Member of the U.S. House of Representatives — State: Illinois District: 19th	[ ] Officer or Employee	Employing Office:
Report Type	[X] Annual (May 15)	[ ] Amendment	[ ] Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	X	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**		X
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	X	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**		X
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**		X
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**		X
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	X	
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	X	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**		X

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

Question	Yes	No
TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?		X
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?		X

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and wilfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	David D. Phelps	5-10-02

4000

Name DAVID D. PHELPS	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	ELDORADO UNIT #4 SCHOOL DISTRICT	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name DAVID D. PHELPS | Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments) provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that your spouse (SP) or dependent child (DC) or is jointly held (JT). In the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.
If you use a valuation method other than fair market value, please specify the method used.
If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	Block A	Block B	Block C	Block D	Block E
		A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000	DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000	
SP, DC, JT *Examples:*	SP Mega Corp Stock	X	X		P
	Simon & Schuster	Indefinite		X	
	1st Bank of Paducah, KY accounts	X	X	X	
JT	C P BURNETT & SONS BANKERS	X	X	X	
JT	FARMERS STATE BANK	X	X	X	
SP	METROPOLITAN INSURANCE	X	X	X	
SP	MBNA AMERICA	X	X	X	
SP	BRANCH BANKING & TRUST	X	X	X	
DC	FARMERS STATE BANK	X	X	X	

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DAVID D. PHELPS

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	BLOCK E Transaction: m, s, p
JT	HOUSE 2206 FOURTH STREET				X													N/A			X											
	PHELPS BROTHERS QUARTET PARTNERSHIP, IL MUSICAL GROUP			X										PARTNERSHIP INCOME							X											
SP	TEACHERS' RETIREMENT SYSTEM				X													N/A														
	IL STATE RETIREMENT							X										N/A														
SP	AMERICAS FIDELITY T.D. ANNUITY			X														N/A			IN/A TAX DEFERRED ANNUITY											

This page may be copied if more space is required.

Name DAVID D. PHELPS	Page 5 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PARTNER	PHELPS BROTHERS QUARTET

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (rtac)

Use additional sheets if more space is required.

Name DAVID D. FIELDS | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Royoroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	JEWISH FEDERATION OF CHICAGO	AUG. 6-13	WASH. DC - ISRAEL - WASH DC	Y	Y	Y	N

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Continued in House Document 107–248, Volume 3 of 3

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